

**Request for Application
TCS-01-103
Advanced Youth Tobacco Control
Coalitions**

March 22, 2001

CALIFORNIA DEPARTMENT OF HEALTH SERVICES
TOBACCO CONTROL SECTION
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DEPARTMENT OF HEALTH SERVICES

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March 22, 2001

TO: PROSPECTIVE APPLICANTS

SUBJECT: REQUEST FOR APPLICATION (RFA) # TCS-01-103

Enclosed is RFA # TCS-01-103, entitled “**Advanced Youth Tobacco Control Coalitions.**” The purpose of this RFA is to seek applications to support the efforts of established youth coalitions that will work toward changing social norms related to tobacco use.

The RFA specifies eligibility, submission requirements, and tentative timelines. Please read the RFA carefully, as this is an open competitive process and applications must comply with all instructions to be reviewed. **Applications are due in the California Department of Health Services, Tobacco Control Section (CDHS/TCS) office no later than 5 p.m., on Tuesday, May 15, 2001.**

The complete RFA and all required forms are also available online at the CDHS/TCS website: www.dhs.ca.gov/tobacco. In addition, the policy section of the *CDHS/TCS Competitive Grantees Administrative and Policy Manual* is available on the website to assist potential applicants in preparing their applications. It is anticipated that an evaluation planning guide will be available on the website by early April 2001.

If your organization is eligible and interested in applying for funds, it would be beneficial to attend the scheduled Bidders' Conference. Please bring a copy of the RFA with you to the conference. Answers to questions about the RFA will only be provided at this conference. Phone calls for programmatic technical assistance in preparing the application **will not** be accepted.

BIDDERS' CONFERENCE:

**Thursday, April 5, 2001
9 a.m. – 12 p.m.
Department of Health Services
611 North 7th Street
Lillian Gish Training Room
Sacramento, CA 95814**

Prospective Applicants

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If anyone attending the Bidders' Conference requires special accommodations for the hearing impaired, please call Beverly Henslee, Contract Manager, Administrative and Contract Support Unit, CDHS/TCS, at (916) 445-2574, by March 29, 2001.

Sincerely,

Dileep G. Bal, M.D., Chief
Cancer Control Branch

Enclosure

cc: Local Lead Agencies
Regional Community Linkage Projects
Ethnic Networks
Competitive Grantees

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I. INTRODUCTION

A. Purpose

The purpose of this Request for Application (RFA) is to seek applications from California non-profit agencies and local Health Departments with established youth coalitions to conduct community tobacco control interventions. The interventions are to be “youth driven,” with youth having a lead role in the planning and implementation of program activities. Proposed interventions can supplement efforts of other projects funded by the Department of Health Services, Tobacco Control Section (DHS/TCS) or can be independent “stand alone” interventions. For the purposes of this RFA, “youth” is defined as ages 12-17 and “established youth coalitions” are defined as those that have been in existence since or prior to January 1, 1999.

Each funded project will address the unique needs of its community and contribute to a statewide youth tobacco control advocacy movement. Designated “lead agencies” will facilitate communication between the youth coalitions, develop materials and conduct trainings, and coordinate statewide advocacy events.

The designated lead agencies for advanced youth coalition projects are the California Youth Advocacy Network (CYAN) and the Contra Costa County Tobacco Control Project (CC). To be considered for funding, applicants must demonstrate coordination with both of these agencies. At a minimum, coordinated activities will include:

- Participation in scheduled teleconferences with other funded youth coalition projects;
- Participation in 1 to 2 annual youth advocacy events in coordination with other funded youth coalition projects;
- Participation in local youth coalition trainings provided by CC; and
- Participation in 1-3 annual statewide youth planning sessions.

This RFA will **not** fund efforts that address or include the following areas or activities: 1) simple education activities (e.g., health fairs, art contests), unless they are part of an integrated community norm change campaign; 2) a sole focus on the provision of tobacco cessation services; 3) cessation websites; 4) a sole focus on social sources of tobacco; and 5) smoke-free pledges to reduce exposure to environmental tobacco smoke (ETS) in homes and vehicles.

B. Background

In November 1988, California voters approved the Tobacco Tax and Health Promotion Act of 1988 (Proposition 99) which added a 25 cent tax to each pack of cigarettes sold in the state. These additional tobacco taxes were earmarked for tobacco-related research, health education and promotion, and health care.

The enabling legislation for Proposition 99 includes Assembly Bills (AB) 75, 99, and 3487, and Senate Bills (SB) 99, 816, 493, and the annual State Budget. These bills provide legislative authority for programs administered by CDHS/TCS to:

- conduct health education interventions and behavior change programs at the state level, in the community, and other non-school settings;
- apply the most current research and findings; and
- give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

The scope of the health education campaign launched by CDHS/TCS is addressed in the Health and Safety Code, Part 3, Chapter 1, commencing with Section 104350. These statutes authorize CDHS/TCS to fund a variety of innovative approaches to reduce tobacco use. These approaches include funding for local health departments, competitively selected community agencies, a statewide media campaign, and an extensive evaluation of the entire tobacco control program.

California's Tobacco Control Program does not have a specific youth focus. Instead, it strives to change overall social norms that support tobacco use. This approach impacts youth indirectly by changing the environment in which they live. It "denormalizes" tobacco use and indirectly influences future and current tobacco users by creating a social environment where tobacco use becomes less desirable, less acceptable, and less accessible to youth and adults alike.

CDHS/TCS funds local tobacco control projects, however, that work with youth coalitions to involve young people in their program efforts. Currently, CDHS/TCS funds approximately 30 youth tobacco control coalitions in California. Fourteen are funded through health department-based tobacco control programs (Local Lead Agencies or LLAs) in the following counties: Amador, Berkeley, Contra Costa, Fresno, Imperial, Orange, Pasadena, Riverside, San Bernardino, San Luis Obispo, San Mateo, Santa Clara, Sonoma, Stanislaus, Ventura, and Yolo. In addition, many of California's 11 Regional Community Linkage Tobacco Control Projects have youth coalitions that address tobacco control issues on a multi-county level. Other CDHS/TCS-funded competitive grantees have youth coalitions as well.

California's approach to tobacco control has been very successful. Since the passage of Proposition 99, per capita cigarette consumption in California has declined by more than 50 percent and the adult smoking prevalence has declined by more than 20 percent. Lung cancer rates over the past 10 years have decreased by 14 percent, while other regions of the country reported only a 2.7 percent decrease over the same period.

Youth smoking prevalence has been consistently lower in California than in other states. From 1998 to 1999, there was a dramatic 35.5 percent drop in youth smoking from 10.7 percent to 6.9 percent as measured by the California Youth Tobacco Survey, a randomized statewide telephone survey. This decline was observed across all genders and races.

Unfortunately, the adult smoking prevalence in California has not declined, but has remained essentially flat since 1995 with a rate of approximately 18 percent in 1999. Even more disturbing is that over the past several years smoking prevalence rates for 18- to 24-year-olds have steadily risen, from 16.4 percent in 1995 to 22.7 percent in 1999.

While California has experienced numerous successes and is a leader in tobacco control, smoking remains the leading cause of preventable death and disability. It kills over 42,000 California smokers and 5,000 nonsmokers every year, along with hundreds of thousands more suffering from tobacco-related diseases and the premature loss of loved ones.

The tobacco industry, through its marketing and promotional assault on communities throughout California, continues to try to sway public opinion in its favor, as well as attract new users of its addictive products. The influence of the tobacco industry in California and other issues related to youth are described in the *Independent Evaluation of the California Tobacco Control Prevention & Education Program: Wave 2 Data 1998*. Key points are summarized below.

The Tobacco Marketing Environment in California

- National magazines with high California readership had relatively high levels of tobacco advertising (2.3 ads per issue). Five of the six magazines in the study with at least 10 percent readership among youth had higher than average levels of tobacco advertising per issue (Field and Stream, 6.0 ads per issue; Spin, 5.0 ads per issue; Rolling Stone, 5.0 ads per issue; Sports Illustrated, 3.4 ads per issue; and Ebony, 2.5 ads per issue).
- Tobacco advertising has increased in most types of California newspapers from .11 ads per issue in 1996 to .27 ads per issue in 1997-1998. Tobacco ads were most frequent in weekly entertainment newspapers followed by African American newspapers. Many weekly entertainment or "alternative" newspapers are

distributed free-of-charge at bookstores, coffee shops, libraries, and college campuses. They cover the music scene and films, as well as other issues that appeal to youth and young adults.

- In 1998, one in ten large public events in California had tobacco industry sponsorship or promotional activity, including 86 percent of rodeos and 31 percent of sporting and car events. Predominant event sponsors were R.J. Reynolds, Kodiak Tobacco, Philip Morris, and U.S. Tobacco. Most tobacco-sponsored events were part of a series that traveled nationwide, with the sponsorship organized at the national level. Tobacco-supported events tend to draw a larger audience than non-tobacco events. Youth and adults attend these events.
- Youth own tobacco promotional items at a higher frequency than adults. In 1998, 39 percent of 8th graders and 32 percent of 10th graders reported owning one or more promotional items, compared to 19 percent of adults.
- Retail advertising of tobacco products is very high, with an average of 17.1 advertisements per store. Almost half the stores have displays that are at or under three feet from the floor, making them most visible to children. Marlboro dominates the retail environment, with an average of five ads per store, followed by Camel with an average of two ads per store.
- Fifty-eight percent of retail stores report they receive incentives from tobacco companies, such as cash or free or discounted products, to prominently place and promote the sale of their products. In comparison, only 37 percent and 14.5 percent reported receiving similar incentives from soda or candy companies, respectively.
- The public is concerned about the amount of tobacco advertising and marketing in their communities. One-half of adults, 44 percent of 8th grade youth, and one-third of 10th grade youth thought that it is a serious problem that tobacco products are advertised in their communities.
- Youth have negative views about the tobacco industry. In 1998, 89 percent of 8th graders and 91 percent of 10th graders felt the tobacco industry tries to get people addicted to cigarettes; 87 percent of 8th graders and 93 percent of 10th graders felt the industry would not stop selling tobacco even if it knew it was harmful; and 85 percent of both 8th and 10th graders felt the industry targets youth with advertisements.
- Adults are skeptical of the tobacco industry's practices. Over three quarters of adults thought that tobacco companies try to get youth to start smoking by using advertisements that are attractive to youth, are generally dishonest in the information they give the public about their products, and increase nicotine in cigarettes to get people addicted to tobacco.

- The public supports restrictions on tobacco advertising and marketing. In 1998, from one-half to two-thirds of adults and opinion leaders supported restrictions to ban tobacco advertising in stores and on billboards, to ban tobacco sponsorship of sporting and community events, and to reduce the amount of smoking on TV programs and in films.

Reducing Secondhand Smoke

- A large proportion of children with parents who smoke remain at risk for exposure to secondhand smoke in their homes. Among adults with children living at home, nonsmoking parents were nearly twice as likely to have a complete ban on smoking in the home (90 percent) as smoking parents (55 percent).
- More than one-third of 8th and 10th grade youth were exposed to secondhand smoke in cars in 1998. African American youth were at higher risk for exposure than other ethnic groups. In 1998, over three-fourths of nonsmoking adults (76 percent) had a complete ban on smoking in their car, compared to only 26 percent of smokers.

Reducing the Availability of Tobacco

- In 1998, 57 percent of 10th graders reported that it was easy for them to buy tobacco from stores and 89 percent reported that it was easy to obtain from social sources (e.g., friends, family or strangers).
- From 1996 to 1998, enforcement agencies increased their efforts to cite youth for possession of tobacco, but did not increase the amount of enforcement directed toward merchant compliance with youth access laws.
- The majority of local enforcement agencies are not conducting merchant compliance checks, despite research that shows that this is the most effective activity to reduce the rate of illegal tobacco sales to minors.
- Friends are the primary social source of cigarettes for youth. Strangers who are asked to buy cigarettes for minors tend to be smokers, younger adults, males, and those with lower incomes. Fifty-nine percent of California 18- and 19-year-olds and 39.3 percent of 20- to 24-year-olds have been approached to provide tobacco to minors.

Youth Cessation

- Many high schools have on-site cessation programs for students. However, in 1998, in schools with a cessation program, only 31 percent of current smokers were aware of the program. In 1998, the percentage of 8th and 10th grade

smokers who tried to quit the year before the survey was completed was 66 percent and 63 percent respectively.

C. CDHS/TCS Program Priorities and Communities of Excellence

CDHS/TCS-funded tobacco control projects focus their efforts on one or more of the CDHS/TCS priority areas: 1) countering pro-tobacco influences in the community; 2) reducing exposure to secondhand smoke and increasing the number of smoke-free public spaces, worksites, schools, and communities; 3) reducing the availability of tobacco products; and 4) increasing availability of cessation services. These priorities address key factors related to youth and/or adult tobacco use and are broad enough to encompass nearly all tobacco control activities.

In 2000, CDHS/TCS developed a community planning model called *Communities of Excellence in Tobacco Control (CX)*. The purpose of CX was to provide LLAs with a systematic method to assess and prioritize their community's tobacco control needs and develop appropriate interventions to address them. LLAs recently assessed their communities in relation to CX *community indicators*, which are environmental or community level measures that help identify tobacco control change at the community level and *community assets*, which are factors that promote and sustain tobacco control efforts in the community. The findings provide the basis for the LLAs to develop their 2001-2004 Comprehensive Tobacco Control Plans.

Applicants must address CX indicators in their Scope of Work interventions. Because LLAs have recently conducted CX community assessments, applicants must coordinate closely with the LLA in their area to ascertain assessment results and tobacco control priorities and unmet needs in their communities. See Appendix M for a list of CX community indicators.

CDHS/TCS rationale for the priority areas is described below. See Appendix A for sample intervention activities for each priority area.

1. **Counter Pro-Tobacco Influences in the Community (26 Community Indicators).** Eliminating tobacco industry influence in local communities is a high priority for California's tobacco control programs. The tobacco industry spends massive amounts of money on slick advertising and promotional campaigns, which mislead the public regarding the addictiveness and negative health effects of tobacco. Tobacco companies strategically target specific community events, such as rodeos, festivals, concerts, and pow-wows to create the perception that tobacco is a vital and even necessary part of community life.

Tobacco control strategies in this priority area include: developing interventions to weed out the harmful tobacco industry presence in our communities; tracking and reporting industry violations of the provisions of the Master Settlement Agreement (MSA); enacting local policies to reduce exposure to tobacco

advertising and promotions; creating alternative sponsorship opportunities; and countering efforts to block or weaken regulation of tobacco or policies already in place.

2. **Reduce Exposure to Secondhand Smoke (17 Community Indicators).** The tobacco control literature shows that where there are strong policies that protect people from the effects of secondhand smoke, there is a drop in smoking prevalence. This cause and effect relationship has been substantiated on a large scale by the California experience.

In 1994, the State Legislature enacted the Smoke-Free Workplace Act, AB 13 (Labor Code Section 6404.5). This law prohibited smoking in most enclosed worksites with limited exemptions. January 1, 1998, ushered in the second phase of Labor Code Section 6404.5, which extended the no smoking policy to bars, taverns, and gaming clubs. Consistent education and enforcement has been and will continue to be critical to the success of Labor Code Section 6404.5. Protecting California workers and the public from the effects of secondhand smoke and helping large numbers of smokers to get the environmental support they need to quit smoking remains a high priority with CDHS/TCS.

Additionally, the importance of addressing workplaces not covered through Labor Code Section 6404.5, such as on American Indian lands in California, remains an area of focus. Several American Indian-owned businesses, including casinos, are beginning to institute smoke-free policies, but much work still remains.

Several communities throughout California have also taken steps to reduce exposure to secondhand smoke in outdoor settings by supporting policies prohibiting smoking at fairs and festivals, parks and recreation areas, building entrances and exits, and outdoor dining areas of restaurants. A recent statewide survey revealed the following:

- 88.1 percent of respondents strongly or somewhat agreed that playgrounds and other child play areas should be smoke-free within a minimum of 15 feet from the edge of play areas;
- 82.5 percent of respondents strongly or somewhat agreed that outdoor entertainment venues such as stadiums, zoos, and fairgrounds should have designated smoking and nonsmoking areas;
- 82.5 percent of respondents strongly or somewhat agreed that common areas within apartments and condominium complexes should be smoke-free; and
- 85.6 percent of respondents strongly or somewhat agreed that hotel and motel lobbies and common areas should be smoke-free.

Confirming the importance of reducing exposure to secondhand smoke, a 1997 California Environmental Protection Agency report, "Health Effects of Exposure

to Environmental Tobacco Smoke (ETS)," provided overwhelming evidence that ETS exposure is causally associated with developmental, respiratory, carcinogenic, and cardiovascular health effects, including fatal outcomes such as Sudden Infant Death Syndrome and heart disease mortality, as well as serious chronic diseases such as childhood asthma.

3. Reduce Availability of Tobacco Products (15 Community Indicators).

Overall, California has seen a significant drop in the rates of illegal tobacco sales, down from 52.1 percent in 1994 to 12.8 percent in 2000. Despite this statewide trend, certain counties have documented increased sales rates in the past year, which suggests that continued interventions are needed to monitor and control the situation. In addition, over 80 percent of young people still report they have no problem obtaining tobacco.

The elimination of self-service displays in stores tends to decrease illegal sales of tobacco to minors, youth theft, and adult impulse purchases. Other promising local interventions to reduce the availability of tobacco products include: tobacco retail licensure, which provides the municipality or other government entity the authority to fine or to revoke the license of those retailers who violate tobacco related laws, as well as conditional use permits that limit the location and number of retailers who sell tobacco in a specific jurisdiction.

Efforts to prevent youth access to tobacco, such as the Stop Tobacco Access to Kids Enforcement (STAKE) Act and Penal Code Section 308(a) enforcement, tobacco retailer licensing, tobacco self-service display policies, and conditional use permits must continue at a level that maintains California's compliance with state laws and with the federal law requiring an illegal tobacco sales rate of less than 20 percent.

4. Increase Availability of Cessation Services (4 Community Indicators).

Smoking cessation is a complex, often extended process. It starts with an individual contemplating the decision to quit and proceeds to, in most cases, several repeated quit attempts until they are successful. As social norms shift away from the acceptability of smoking, they influence the level of motivation to quit across the entire population of smokers, and motivate more smokers to quit on their own. As such, cessation becomes the outcome rather than the intervention. In California, 90 percent of former smokers report quitting on their own without cessation services. However, CDHS/TCS does fund free tobacco cessation assistance available for adults and teens from the California Smokers' Helpline. Cessation counseling is available in English, Spanish, Vietnamese, Korean, Mandarin, and Chinese. Most health departments also provide direct cessation services at no cost or for a nominal fee.

CDHS/TCS funds several competitive grantees to approach cessation through a systems approach. This includes working with pharmacies, health maintenance organizations, and healthcare providers to improve their capacity to offer

culturally and linguistically appropriate cessation services. Additionally, the statewide public relations campaign released a communication outreach kit, "Make 2000 the Year 2 Quit" for use by contractors to promote quitting through the media, newsletter, promotional events, etc.

Like reducing availability to tobacco products, increasing availability of cessation services is considered a lesser priority than countering pro-tobacco influences and reducing exposure to secondhand smoke. This RFA will **not** fund efforts with a sole focus on provision of tobacco cessation services.

D. Point-of-Sale Environment Statewide Campaign

The Point-of-Sale Workgroup is in the process of developing a comprehensive statewide campaign entitled Point-of-Sale Environment (POSE) to address issues related to tobacco and the point-of-sale environment. Development of this campaign is dependent upon a proposed augment of \$20 million dollars to CDHS/TCS budget beginning July 1, 2001. Development and production of campaign materials described below will take approximately six to nine months and will not be available until 2002.

Participation in the statewide campaign is optional. It is suggested that projects build participation of this statewide campaign into their Scopes of Work if they propose objectives that address the issues below and intend to have policy (voluntary or legislated) or increased enforcement as an outcome:

- Restrict point-of-sale tobacco advertising;
- Tobacco retail licensing;
- Tobacco self-service display bans;
- Increased enforcement of tobacco sales to minors laws, including posting of STAKE Act signs; and/or
- Increased enforcement of the Lee Law or local laws addressing outdoor tobacco signage at businesses.

1. Components

The statewide campaign is in the process of being designed. Specific details and timelines are not available at this time. It is conceptualized that the campaign will consist of multiple components with tools and training provided to support it. Participating projects will have the flexibility to use those components that complement their Scope of Work.

Components and tools may consist of the following items:

- Observation tools and survey protocols to monitor store environments for tobacco advertising and promotions, self-service tobacco displays, and STAKE Act signs;

- Report Card Format with standards that can be used to compare jurisdictions on tobacco issues related to advertising and the sale of tobacco products;
- “Swiss Cheese” press releases;
- Speaking points promoting the value of policies to control tobacco advertising, self-service tobacco displays, tobacco retail licensing and enforcement of tobacco-related laws;
- Sample letters to the editor;
- Sample letters to law enforcement officials;
- Fact sheets;
- Educational and training materials for merchants; and
- Educational and training materials for law enforcement officials.

2. Tentative Timeline

March to July 2001	Point-of-Sale Practices Workgroup develops a campaign plan with specific timelines and responsibilities.
July 1, 2001	Contract with statewide projects to produce products, and develop and pilot test campaign materials.
November 2001	Unveil campaign specifics at the Statewide Project Directors’ Meeting November 5-8, 2001.
February/March 2002	Launch specific campaign component trainings on the use of campaign materials and tools.
April 2002-June 2004	Implement campaign activities.

3. Scope of Work

Projects that intend to participate in this exciting campaign should be prepared to spend approximately 20 percent of the project’s time on campaign activities during the period April 2002 to June 2004. For purposes of the Scope of Work, projects may use the following language as an “Activity” to describe participation in this statewide campaign.

“Participate in the Point-of-Sale Environment Statewide Campaign to implement activities focused on the following issues (insert all of the following that apply and are related to your outcome objective -- Point-of-sale tobacco advertising, tobacco retail licensing, tobacco self-service display bans, increased enforcement of tobacco sales to minors laws, increased enforcement of the Lee Law or local laws addressing outdoor tobacco signage at businesses).”

E. Principles of Working with Youth

Teens are in the throes of making the transition to adulthood. There are many competing demands on their time and energy including academics, sports, social and family activities. Consequently, they may not want to work on projects that are not interesting, fun or rewarding. Initially, tobacco may not be a pressing issue for teens who might be more concerned about the environment, illicit drugs or gangs. Therefore, the issue must be presented to teens in ways that make it relevant to their lives, giving them opportunities that they will view as having value to themselves and to others.

Working with teens calls for honesty, humor, patience, flexibility, and the ability to work in a loose, supportive environment. Teens want to be respected for their ideas, their perspectives and their time.

The most successful youth programs are those that utilize the following principles:

- Give teens a voice, ask for their involvement;
- Give decision-making power/authority to teens;
- Make the project fun;
- Offer meaningful opportunities;
- Provide a safe and positive environment;
- Encourage teen/adult partnerships;
- Offer training that is relevant, experiential and interactive;
- Provide opportunities for reflection and feedback; and
- Acknowledge teens personally and publicly.

Tobacco prevention and control can provide youth an opportunity to get involved in a community mission with social justice at its root. Programs using a positive youth development approach that is built on the foundation of caring relationships with adults, high expectations, and meaningful opportunities for youth to participate while learning new skills have been highly successful. Examples of tobacco prevention activities that a community may wish to adopt include media literacy, cross-age mentoring and youth-driven advocacy and community service. Communities throughout California have successfully used these strategies to reduce exposure to secondhand smoke, counter tobacco industry influences, and help reduce youth access to tobacco. These strategies are appealing to youth because they address issues that young people have to deal with in their daily lives and because they empower youth by providing a way to “give back” to the community.

The roles of teens and staff in tobacco control projects vary by project. Generally, the roles are divided with teens acting as educators and advocates, interacting with media and policy makers, and planning and carrying out specific programs. Adults need to identify the parameters of the project, facilitate planning and help keep the teens on track, and provide logistical support and training so the teens will succeed at their activities.

F. Tobacco Industry Gets Hammered by Teens Model

The Tobacco Industry Gets Hammered by Teens (TIGHT) Model, created by the Contra Costa County Tobacco Control Project, has successfully put the above principles into action. TIGHT youth coalitions work to identify tobacco industry marketing and promotional tactics in their communities and then develop and implement strategies to counter the industry's efforts and to reduce access to tobacco. The results have been dramatic. To date, TIGHT has been instrumental in the passage of a Tobacco-Free Youth Ordinance (TFYO), which restricts tobacco marketing, bans self-service displays and the distribution of tobacco promotional items to minors, and requires that tobacco retailers be licensed, in 15 cities and the unincorporated areas in Contra Costa County.

TIGHT involves high-school age youth as coalition members, and college-age youth coordinators as mentors. TIGHT works with ethnically diverse youth who do not fit the stereotypical profile of student leaders by reaching out to under-served neighborhoods and youth with school-related problems. The TIGHT model involves youth in identifying problems, developing solutions, and taking action that can create healthier communities. As a result, youth become invested partners in their own future and develop protective factors that support resilience and tobacco resistance.

Since its inception in 1997, the TIGHT coalition model has focused on:

- Training teams of youth in community outreach and organizing;
- Developing diverse local youth leadership in communities targeted by the tobacco industry;
- Preparing youth to work with policy makers, community leaders, merchants, and other adult decision makers; and,
- Developing leadership skills, including, public speaking, problem solving, action plan/strategy development, volunteer recruitment, planning and facilitating meetings, managing group dynamics and conflict, media advocacy, and sharing healthy values and codes of conduct among their peers.

TIGHT uses a youth development approach focusing on “at-risk” youth, in addition to student leaders. Youth have the opportunity to grow by first serving as advocates, then as outreach workers, and finally as coordinators. In using this model, Contra Costa County perpetuates a base of current youth leaders, and future leaders, to ensure that there is a continuous group of youth that participate in setting tobacco control policy.

TIGHT youth played a major role in promoting the development and passage of the TFYO in Contra Costa County. The youth researched and documented the problems of tobacco access and industry targeting of youth in their communities, learned about the legal issues, educated peers and members of the Board of Supervisors, and testified at Board meetings.

Other TIGHT accomplishments include the following:

- Conducting extensive research (e.g., canvassing neighborhoods, taking photographs, etc.) to document the problem (e.g., proliferation of self-service tobacco displays, tobacco advertising in convenience stores and other retail outlets, etc.);
- Educating new policy makers about the importance of enforcing tobacco control laws (e.g., ensuring that a new high school principal enforced smoke-free school laws and used non-punitive measures to discipline youth smokers);
- Mapping tobacco billboards in communities to demonstrate their proliferation and location in relation to schools; and
- Improving youth academic performance, increasing self-esteem, and acquiring new skills.

TIGHT has proven to be an effective model for involving youth in changing community norms related to tobacco and in enhancing youth development. Applicants are to use the TIGHT model, or a similar approach, in planning and implementing activities for this RFA. Additional information about the TIGHT model and other youth coalition resources are available at the Contra Costa County Community Wellness Program website: <http://ccprevention.org/projects/tpp/youth.html>.

G. State-Administered Evaluation

In addition to program evaluation, advanced youth coalition projects are required to participate in overall state-administered youth coalition evaluation activities. The purpose of the state-administered evaluation is to capture uniform data on youth coalition functioning among the funded projects. Standardized tools are currently under development.

II. GENERAL GRANT APPLICATION INFORMATION

A. Eligibility Requirements

1. California public or private non-profit organizations, including local health departments, that have youth coalitions that have been in existence since or prior to January 1, 1999, are eligible to apply for these funds. For applicants claiming private non-profit status, **either** certification from the State of California, Office of Secretary of State **or** a letter from the Department of the Treasury, Internal Revenue Service (IRS) classifying the applicant administrative agency as a private non-profit **MUST BE INCLUDED** with the submission of the application. The certification application and a sample letter are provided in Appendix B and Appendix C.
2. State of California agencies, other than state universities, colleges, and community colleges are not eligible for these funds.
3. Funding for this RFA is general fund money from the Governor's budget. Therefore, local health departments are eligible to apply for funding.
4. Any agency, with the exception of universities and colleges, that receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, during the term of the grant, is not eligible for funding under this RFA. Agency certification to this effect is required on Attachment 8. See Appendix D for a partial list of tobacco company subsidiaries.

With regard to universities and colleges, any Principal Investigator who within the last five years from the start date of the grant period, or during the term of the grant, receives funding from, or has an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company, is not eligible for funding under this RFA. The Principal Investigator's certification is required on Attachment 8. See Appendix D for a partial list of tobacco company subsidiaries.

B. General Grant Information

1. Approximately \$800,000 per year is expected to be available for this RFA to fund competitive community grants from appropriations in fiscal years (FY) 2001-02, 2002-03, and 2003-04. Funding is contingent on the availability of anticipated additional FY 2001-02 and subsequent FY funds. The actual funding level for each FY will be known when each annual State Budget is signed by the Governor. There is no guarantee that funding will be available.
2. Grant awards are for a 34-month period beginning September 1, 2001 and ending June 30, 2004. **Applications must be for the entire period.** CDHS/TCS will have the option of renewing the grant for an additional two years

if funds are available and the grantee has performed to the satisfaction of CDHS/TCS.

3. Grant awards are expected to average a total of \$200,000 to \$300,000 for the entire grant period depending upon the scope, quality, and quantity of the types of activities proposed.
4. CDHS/TCS anticipates funding a total of 8-10 tobacco control projects through this competitive community RFA process.
5. CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. The CDHS/TCS waiver of any immaterial defect(s) shall not excuse an application from full compliance with the contract terms if a contract is awarded. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.
6. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.

C. Application Submission Requirements

1. Letter of Intent

For purposes of planning the review process, all prospective applicants are to submit a letter notifying CDHS/TCS of the intent to submit an application. **One (1) signed letter of intent should be sent by April 13, 2001.** The letter of intent must be submitted on the applicant's letterhead and state the following: the name and number of the RFA under which the application will be submitted, the estimated budget request, and the location/geographic coverage of the proposed project activities. E-Mail documents will not be accepted.

Mail or fax the letter of intent to:

Tobacco Control Section
ATTN: Beverly Henslee
California Department of Health Services
P.O. Box 942732, MS #555
Sacramento, CA 94234-7320
FAX # (916) 327-5424

Clearly indicate “**Advanced Youth Tobacco Control Coalitions,**” RFA # **TCS-01-103** on the outside of the mailing envelope or FAX transmittal sheet.

2. Application

NOTE: All applicants agree in submitting an application, that CDHS/TCS is authorized to verify any and all claimed information and to verify any references named in the application. All applications received by CDHS/TCS are subject to the provisions of the "California Public Record Act" (Government Code Section 6250 et seq.) and are not considered confidential after completion of the selection process.

Submit one signed original (clearly marked "original"), six (6) copies of the entire application, and six (6) additional copies of the Narrative/Scope of Work Summary (refer to Section IV, Application Requirements and Instructions). Clearly indicate "**Advanced Youth Tobacco Control Coalitions," RFA # TCS-01-103**" on the outside of the mailing envelope. **Applications must be received no later than 5 p.m., Tuesday, May 15, 2001, at CDHS/TCS.**

- FAX and E-mail documents will not be accepted. It is the sole responsibility of the applicant to ensure that CDHS/TCS receives the required number of copies of the application by the above deadline.
- A late or an incomplete application will be considered non-responsive and will not be reviewed for funding.
- No changes, modifications, corrections, or additions may be made to the application once it is received.
- Postmarks will not be accepted as proof of timely delivery.
- No exceptions will be made.

Deliver completed applications to CDHS/TCS:

**Regular Mail
(U.S. Postal Service):**

Diane Hightree
Tobacco Control Section
Department of Health Services
P.O. Box 942732, MS 555
Sacramento, CA 94234-7320

**For hand or overnight delivery
(UPS or FedEx):**

Diane Hightree
Tobacco Control Section
Department of Health Services
601 North 7th Street, MS 555
Sacramento, CA 95814

CDHS/TCS Phone Number:
(916) 327-5425

*** See **Appendix E** for directions to CDHS/TCS. ***

3. RFA Bidders' Conference

A RFA Bidders' Conference is scheduled for the purpose of answering questions directly related to the RFA requirements. Technical assistance regarding programmatic content will not be available.

BIDDERS' CONFERENCE
Thursday, April 5, 2001
9 a.m. – 12 p.m.
Department of Health Services
611 North 7th Street
Lillian Gish Training Room
Sacramento, CA 95814

D. Application Review Process

1. Review for Compliance with Mandatory RFA Requirements

Applications will be date and time stamped upon receipt at CDHS/TCS. Each application received by CDHS/TCS no later than 5 p.m. on Tuesday, May 15, 2001, will be reviewed for compliance with the requirements provided in this document.

NOTE: Applications that do not comply with the requirements will be considered non-responsive and excluded from the review. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejecting the application prior to the peer review. LATE, INCOMPLETE, OR NON-COMPLIANT APPLICATIONS WILL BE REJECTED.

2. RFA Review

Each application that complies with the mandatory requirements will be evaluated and scored by a review committee on a scale of 0 to 100 points. Applications receiving a score of 75 points or more will be considered for funding depending upon the availability of funds and non-duplication of local, state, or national tobacco control initiatives. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.

The maximum point value of each section is as follows:

Narrative/Scope of Work Summary	25 points
Coordination	10 points
Applicant Capability	20 points
Scope of Work and Evaluation	30 points
Budget and Budget Justification	<u>15 points</u>
	100 points

3. Review of Applicant Performance

As part of the final selection process, CDHS/TCS may consider an applicant's performance under prior grants, contracts, or cooperative agreements with CDHS/TCS. This may include, but is not limited to, completing contract deliverables, timely and accurate submission of progress reports and evaluation reports, timely and accurate submission of invoices and fiscal documentation, a review of financial and programmatic audits, consistent use of PARTNERS, and participation in CDHS/TCS conferences, trainings, and teleconferences. CDHS/TCS reserves the right to reject any application with a passing score based on an applicant's inadequate performance in prior grants, contracts, cooperative agreements, or subcontracts with CDHS/TCS.

4. Notification of Decision

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request to CDHS/TCS, the consensus review tool summary page for their application, which provides the score and overall strengths and weakness of their application.

5. Contract Negotiation

Following the award notification, contract negotiations will occur with the potential contractor in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit a detailed Scope of Work, Budget, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant will be fully executed and work may commence.

CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work, Budget, Budget Justification and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.

In the event that CDHS/TCS is unable to execute a contract with the initial successful agency, CDHS/TCS reserves the right to continue the evaluation of the applications and select the application that most closely meets the requirements specified in this RFA, and that received a passing score of at least 75 points.

CDHS/TCS reserves the right to withdraw any award or negotiate the Scope of Work of any proposed projects or proposed project components if another agency funds the applicant to perform similar activities submitted under this RFA or if the proposed activities duplicate the activities or roles of other local, state, or national objectives.

E. Appeals Process

Only those agencies that submit an application consistent with the requirements of this RFA and are not funded may appeal. There is NO appeal process for applications that are submitted late, non-compliant, or are incomplete. Applicants may not appeal their funding level. Letters appealing the final application selection must be received **no later than 5 p.m. on June 12, 2001, at the address indicated below. Electronically transmitted documents WILL NOT BE ACCEPTED.**

Appeals shall be limited to the grounds that CDHS/TCS failed to correctly apply the standards for reviewing your agency's application in accordance with this RFA. The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief or Designee
Division of Chronic Disease and Injury Control
Department of Health Services
P.O. Box 942732, MS #504
Sacramento, CA 94234-7320
Fax number: (916) 327-5424

At his sole discretion, the Chief of the Division of Chronic Disease and Injury Control or his designee may hold an appeal hearing with each appellant and then come to a decision, either based on the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control or his designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within 15 working days of their hearing date or the consideration of the written appeal letter, if no hearing is conducted.

F. Tentative Timelines

March 22, 2001	Release of RFA
April 5, 2001	Bidders Conference: Sacramento 9 a.m. – 12 p.m.
April 13, 2001	Letters of Intent due no later than 5 p.m.
May 15, 2001	Applications due no later than 5 p.m.
June 5, 2001	Award decisions announced
June 12, 2001	Appeals due no later than 5 p.m.
June 19, 2001	Appeal Hearings
September 1, 2001	Contract period begins
June 30, 2004	Contract period ends

III. ADMINISTRATIVE AND PROGRAM EXPECTATIONS

Agencies applying for these funds must have the administrative ability to manage state grant funds and the technical expertise to successfully implement the proposed project activities. It is the experience of CDHS/TCS that some applicants are unfamiliar with state procedures, requirements, and expectations. The following information is provided in order that the prospective applicants might assess their ability to enter into a binding grant agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated line item budget. If changes in line items, salary ranges, or staffing patterns need to be made, the grantee must request a budget revision or a grant amendment depending on what needs to be changed in the budget. It is up to the discretion of CDHS/TCS whether or not to approve the requested budget revision or grant amendment.
2. Grantees are reimbursed in arrears for actual expenses, which means the agency or individual incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 30 days to pay certified small businesses and up to 45 days to pay others. This means that the grantee must be able to cover at least 45 to 60 days worth of project payroll, indirect, and operating expenses prior to reimbursement by the State. Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses, and 2) cash flow maintenance.
3. Grantees are expected to contact CDHS/TCS if they are having difficulties implementing the Scope of Work or need to make changes in the approved activities. The agency must be aware that it is legally bound to deliver the services as stated in the Scope of Work. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the Scope of Work, the grantee must contact CDHS/TCS to discuss the issue and request a Scope of Work revision or contract amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including Progress Reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**
4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual. This manual is referenced in the contract and, as such, is a contract document. The manual will be made available to successful applicants.
5. Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.

6. Grantees are to maintain accounting records that reflect actual expenditures including, but not limited to: accounting books, ledgers, documents, payroll records, including signed timesheets, etc., following standard accounting procedures and practices that properly reflect all direct and indirect expenses related to this grant. These records shall be kept and made available for three (3) years from the date of the final grant payment.
7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense.
8. Grantees are required to obtain prior approval from CDHS/TCS before they are reimbursed for any purchase order, subcontract, or consultant agreement costing \$5,000 or more. Three (3) competitive bids may be required as well as other documentation of the bid process. This information along with the proposed subcontract or consultant agreement must be submitted to CDHS/TCS for approval prior to reimbursement of such expenses.
9. Grantees are to have a procedure designating a person within their agency or organization that may sign payroll time sheets, requisitions, and invoices.
10. Grantees are to maintain accurate records regarding program implementation, which document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to logs, sign-in sheets, meeting minutes, survey, and evaluation data, etc. It is recommended that the grantee set up documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed.
11. Grantees are to have sufficient personnel to submit to CDHS/TCS timely, accurate, and complete progress reports every six (6) months using the forms and format provided by CDHS/TCS.
12. Grantees are to have adequate personnel to insure timely submission of accurate invoices and maintain the fiscal integrity of the grant.
13. Grantees and all subcontractors should be aware that the State shall be the owner of all rights, title, and interest in, but not limited to, the copyright to any and all Works created, produced, or developed under a grant funded from this RFA, whether published or unpublished. Appendix H contains the specific language that will be incorporated into the boilerplate language of the grant funded by CDHS/TCS. If successful in your RFA, you must comply with the copyright and ownership of materials language. Review Appendix H carefully. Changes to this language will **not** be negotiated at any time during the RFA process nor with the funded applicant.

14. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS. Refer to Appendix L.
15. Grantees are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all program grant related deliverables as well as to fulfill payroll, accounting, and administrative procedures.
16. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as any apparent non-compliance with contract requirements.

IV. APPLICATION REQUIREMENTS AND INSTRUCTIONS

A. General Requirements

1. **READ ALL INSTRUCTIONS CAREFULLY.** Be sure to include all of the information required in this RFA, including all attachments and copies. Re-check the application to ensure completeness.
2. **DO NOT ASSUME** the reviewers have prior knowledge of the past history of the applicant agency or previous tobacco control programs administered by the agency. The responsibility is on the applicant to demonstrate an understanding of the services to be delivered under the intended contract, the capacity of the applicant agency to carry out the services, and the ability to design and carry out efficient services that are reasonably budgeted.
3. **DO NOT PROVIDE ANY MATERIALS THAT ARE NOT REQUESTED.** Any materials submitted that are not requested under this RFA will be discarded prior to application review, including pages that go over the maximum number in specified sections with page limitations.
4. Number each page of the application consecutively.
5. The type font size is to be no less than 12 characters per inch.
6. Folders and binders are **not** desired and will be discarded; securely staple the application in the upper left corner.
7. Attachments 1, 4, 6, 7, and 8 require a signature by the person authorized to legally bind the applicant agency to the commitment outlined in the application. **Allow enough time to obtain these required signatures.**
8. Policy Section
The Scope of Work and Budget is to be consistent with the policies and procedures found in the Policy Section of the *Competitive Grantee Administrative and Policy Manual* herein referred to as the Policy Section. The Policy Section is posted on the CDHS/TCS website: www.dhs.ca.gov/tobacco. As you develop your Scope of Work and Budget, please review the policy section and pay particular attention to those policies addressing mini-grant programs, incentives, promotional items, sponsorship, and lobbying.
9. Clearly indicate “**Advanced Youth Tobacco Control Coalitions,**” RFA # **TCS-01-103**” on the outside of the mailing envelope.

B. Organization of the Application

Present the components of the RFA in the order listed below using the instructions provided on subsequent pages to complete each area.

- 1. Application Cover Sheet (Attachment 1)
- 2. Application Checklist (Attachment 2)
- 3. Table of Contents (Attachment 3)
- 4. Narrative/Scope of Work Summary (No Attachment Provided, 15-page maximum)
- 5. Coordination:
 - a. Acknowledgement of Communication Form (Attachment 4)
 - b. Letter from Project Evaluator
- 6. Applicant Capability – (No Attachment Provided, 10-page maximum, not including d.)
 - a. Program/Evaluation Experience
 - b. Administrative/Fiscal Experience
 - c. Equipment
 - d. Letters of References (3 required)
- 7. Scope of Work and Evaluation (Attachment 5)
- 8. Budget (No Attachment)
- 9. Budget Justification (No Attachment)
- 10. Drug-Free Workplace Certification (Attachment 6)
- 11. Agency Documentation Requirements (Attachment 7)
- 12. Proof of Non-Profit Status (No Attachment)
- 13. Certification of Non-Acceptance of Tobacco Funds (Attachment 8)

NOTE: ➤ DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.

C. Application Criteria and Instructions

1. Application Cover Sheet (Attachment 1)

Item 1: Enter the legal name of the applicant. Fill in the project name. Enter the mailing address, which will appear on any subsequent agreement. Enter the name of the county in which the applicant's headquarters is located. Enter the name of the primary person to be contacted regarding this application, the phone number, the fax number, and e-mail. Enter the federal identification number of the applicant.

Item 2: The grant term, **9/01/01 to 06/30/04**, has been entered.

Item 3: Enter the Budget amount requested for the entire grant term.

Item 4: Indicate the location/geographic coverage of the project.

Item 5: Check one or more of the **priority areas** that are included in the application.

Item 6: The applicant official authorized by the agency to sign on behalf of the agency must sign and date the certification statement provided. Also print the name and title of this official.

2. Application Checklist (Attachment 2)

The items included on the checklist are **required** to be submitted as part of the application and should be presented in the order noted on this form. If any items are omitted from the application, the application will be considered incomplete and out of compliance with this RFA and will **not** be reviewed. Complete the attached application checklist to ensure that all application attachments and required components are included.

*As a reminder, you are required to **submit six (6) additional copies of the Narrative/Scope of Work Summary** in addition to the required number of full applications.*

3. Table of Contents (Attachment 3)

Applications must have a Table of Contents with page numbers referenced. Application sections must be presented in the sequence shown on the Application Checklist (Attachment 2).

4. Narrative/Scope of Work Summary (No Attachment) 15-page maximum = 25 points

Criteria

Funding preference will be given to those applicants that most closely address the criterion below:

- Provide relevant demographic, geographic, and political/cultural characteristics of the chosen community(ies) in which the project will be conducted.
- Provide information on the youth coalition that will be involved in the project, including:
 1. Coalition name
 2. Date established
 3. Mission statement
 4. Number of members

5. Frequency of meetings
 6. Organizational structure
 7. Communication methods (minutes, mailing list, etc.)
 8. Recruitment methods (including “at risk” youth)
 9. Orientation methods
 10. Date of most recent assessment of member satisfaction
- Document a history of success in planning and implementing youth coalition activities (using the TIGHT model or a similar approach).
 - Demonstrate that youth will have a lead role in the planning and implementation of the proposed project.
 - Demonstrate coordination with the California Youth Advocacy Network (CYAN), and the Contra Costa County Tobacco Control Project (CC), the designated lead agencies for advanced youth coalition projects. At a minimum, coordination should include: 1) participation in scheduled teleconferences with other funded projects; 2) participation in 1 to 2 annual coordinated statewide youth advocacy events; 3) participation in local youth coalition trainings provided by CC; and 4) participation in 1-3 statewide annual youth planning sessions.
 - Summarize each objective, including the CX indicator being addressed and outcomes to result from interventions.
 - Include a strong rationale for the interventions chosen that reflects the current literature and empirical data.
 - Provide reasonable, realistic, and appropriate evaluation plans for each objective.
 - Demonstrate how the proposed interventions will either supplement the efforts of other projects funded by CDHS/TCS or be independent “stand alone” interventions.

Instructions

Using no more than 15 pages, prepare a Narrative/Scope of Work Summary section that provides the following information:

- a. Describe the relevant demographic, geographic, and political/cultural characteristics of your community, such as: 1) racial/ethnic composition of your community; 2) major population centers; 3) urban/rural factors; 4) major media outlets; and 5) number of school districts and approximate number of students.

- b. Provide information on the youth coalition that will be involved in the project, including:
1. Coalition name
 2. Date established
 3. Mission statement
 4. Number of members
 5. Frequency of meetings
 6. Organizational structure
 7. Communication methods (minutes, mailing list, etc.)
 8. Recruitment methods (including “at risk” youth)
 9. Orientation methods
 10. Date of most recent assessment of member satisfaction
- c. Describe the youth coalition model or approach to be used and why it is appropriate.
- d. Describe the role of youth in planning and implementing the proposed project.
- e. Describe how the proposed project will coordinate with CYAN and CC, the lead agencies for Advanced Youth Tobacco Control Coalitions, to include at a minimum: 1) Participation in scheduled teleconferences with other funded projects; 2) Participation in 1 to 2 annual coordinated statewide youth advocacy events; 3) Participation in local youth coalition trainings provided by CC; and 4) Participation in 1-3 statewide annual youth planning sessions.
- f. Summarize the proposed Scope of Work by priority area. For each priority area addressed in the application, state:
- The CX indicator(s) to be addressed. (see Appendix M, for a list of CX indicators)
 - The interventions and expected outcomes to result from the interventions.
 - The rationale for the chosen intervention (e.g., Explain why you selected the strategies and approaches and why you think they are appropriate and will be successful within the target population).
 - The evaluation design and methodology (e.g., What will be measured and how?).
- g. Describe how the proposed interventions will either supplement the efforts of other projects funded by CDHS/TCS or be independent “stand alone” interventions.

5. Coordination = 10 points

Criteria

Funding preference will be given to those applicants that most closely address the criterion below:

- Demonstrate that adequate communication took place with CYAN.
- Demonstrate that adequate communication took place with other relevant agencies and groups regarding the Scope of Work activities.
- Demonstrate non-duplication and coordination with existing projects.
- Demonstrate evidence of the involvement of an evaluator in the development of the Scope of Work objectives and evaluation plan.

Instructions

Follow the instructions for completing both a and b below.

a. **Acknowledgement of Communication Form (Attachment 4)**

The purpose of the Acknowledgement of Communication Form is to confirm that applicants discussed their application with CYAN, appropriate Local Lead Agencies (LLAs), Regional Community Linkage Projects, Statewide Projects, Ethnic Networks, Competitive Grantees, and other local projects working with youth to facilitate coordination and avoid duplication. Applicants should discuss with those involved the similarities with existing efforts, joint activities (e.g., trainings, advocacy activities), and potential contamination of control groups.

The Acknowledgement of Communication Form is to be completed by each LLA and Regional Community Linkage Project that will be part of the service area for the proposed project, and by CYAN. In addition, when appropriate, the form is to be completed by the Ethnic Network representing the ethnic group being served and other statewide or local projects for which there is a need to coordinate and collaborate or for which there may be a perception of duplication.

Requests for signatures must occur by April 30, 2001, so Project Directors have time to respond. Completed forms must be included in the application. Completed forms sent **separately** from the application will **not** be reviewed.

NOTE: The cities of Berkeley, Long Beach, and Pasadena are also LLAs. A complete list of LLAs, Regional Community Linkage Projects, Statewide Projects, Ethnic Networks, and Competitive Grantees can

be found on the CDHS/TCS website: www.dhs.ca.gov/tobacco.
CYAN is listed under its fiscal agent, Public Health Enterprises, Inc.

b. Letter from the Project Evaluator

Applicants must demonstrate participation in the development of the Scope of Work and evaluation plan by an evaluator who has at least three years of experience evaluating local community health projects and experience evaluating community norm change strategies rather than individual behavior change.

Provide a letter from the evaluator describing his/her involvement in the development of the Scope of Work and the evaluation component and his/her experience evaluating community norm change strategies. This letter must include how much time the evaluator spent with the applicant to get the evaluation in place. Every application must include this letter, even if the evaluator is an employee of your agency versus an evaluator hired as a consultant or subcontractor.

6. Applicant Capability (No attachment) 10-page maximum = 20 points

Criteria

Funding preference will be given to agencies that exhibit the following qualifications:

- Demonstrate that the agency has had an active youth coalition since January 1, 1999 and that the coalition has the ability and readiness to undertake activities that will support community norm change.
- Demonstrate that staff have at least two years of access to and previous experience working with youth and the ability to conduct program activities that are appropriate in terms of the culture, language, literacy level, age, and gender specific to that population.
- Demonstrate effectiveness and capacity to provide tobacco control services.
- Demonstrate that project staff has the training, skills, and experience consistent with the program, evaluation, and fiscal and management needs of the project.
- Demonstrate the ability to start up and begin implementation within six weeks of the contract start date.
- Demonstrate at least two years satisfactory performance with administrative, fiscal, and programmatic management of government grant funds, including

- timely and accurate submission of fiscal and program documentation, subcontracts, and compliance with all state contract requirements.
- Demonstrate the ability to partially equip the project with office furniture, computers, printers, copy machines, etc., to support staff and program needs.

Instructions

Using no more than ten pages, address program/evaluation, administrative/fiscal, and equipment criteria of the prime contractor and any major subcontractors below.

a. Program/Evaluation Experience

- (1) Describe the applicant's experience working with a youth coalition that is currently active and has been so since January 1, 1999 or earlier. Describe 2-3 major coalition accomplishments, including those that demonstrate its ability and readiness to undertake activities that will support community norm change.
- (2) Describe the qualifications of key program staff (including staff or consultants responsible for the program evaluation). Describe their educational background and previous experience working with youth and their ability to conduct program activities that are appropriate in terms of culture, language, literacy level, age, and gender of the population. **Do not attach resumes.**
- (3) Describe the applicant's effectiveness and capacity to provide tobacco control services. If the applicant agency has been previously funded by CDHS/TCS, state three major accomplishments resulting from CDHS/TCS funding, which demonstrate your effectiveness and capacity to provide tobacco control services. Include dates of funding period.
- (4) Describe the applicant's capability and resources to ensure timely start-up and implementation of the proposed project. Describe how the proposed project will be integrated into the agency's organizational structure.

b. Administrative/Fiscal Experience

- (1) Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience with monitoring government grant funds. **Do not attach resumes.**
- (2) Describe the applicant's history in the last two years managing state government grant funds. Include in the description the funding agency,

the amount received, and how the grants were managed, i.e., were the grant deliverables accomplished, progress reports and invoices submitted timely, and were fiscal records in good standing?

- (3) Describe the applicant's internal audit history in the past two years. Describe the frequency of audits, date of last audit, and a summary of the major findings from the last audit. Describe how the agency responded and corrected any audit findings.
- (4) Indicate if the applicant has been audited by a State agency within the last two years. If yes, list: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and, 4) the outcome of the audit. CDHS/TCS reserves the right, at its sole discretion, to follow up with references by telephone to confirm the audit history.

c. Equipment

Describe the office and computer equipment the applicant has available for use in this project. Include in the description: a) the number and type of equipment available, e.g., desks, chairs, typewriters, facsimile machines, personal computers, printers, etc.; b) whether or not the computers have modems and communications software; c) the software packages your agency uses for word processing, spreadsheets, databases, etc.; and, d) approximately when the computer equipment was purchased and its availability for use in this project, if funded.

d. Letters of Reference

The applicant must include three (3) letters of reference and attach them immediately following the description of the equipment. Number these letters consecutively as part of the application. If the applicant has in the past or is currently receiving funding from a local, state, or federal agency, other than CDHS/TCS, one of the references **must be** from one of these agencies. No more than three letters will be accepted.

The letters are to be on the reference agency's letterhead and should include:

- (1) The address, telephone number, name, and title of the letter's author.
- (2) A description of the capacity in which the reference worked with the applicant.
- (3) The applicant's experience working with a youth coalition.

- (4) The applicant's experience in community health education, organizing, and planning.
- (5) The applicant's fiscal and administrative ability to manage government grant funds, including submission of reports and general compliance with funding agency policies.

Letters **must not** be sent directly to CDHS/TCS and will not be accepted if they are not a part of the application package. **CDHS/TCS reserves the right, at its sole discretion, to contact references for further information.**

7. Scope of Work and Evaluation (Attachment 5) = 30 points

Criteria

Funding preference will be given to those applicants that most closely address the criterion below:

- The Scope of Work demonstrates an understanding of the role community norms have in influencing behavior change regarding tobacco use and reflects a comprehensive, integrated approach to achieve community norm changes by incorporating such methods as coordination and collaboration with other agencies, community mobilization activities, community-level data collection, policy development, paid advertising, media advocacy, training, opinion polls, community education, evaluation, and other methodologies that will lead to community norm change.
- The Scope of Work incorporates the strategies, methods, and communication modes consistent with the principles of working with youth.
- The Scope of Work presents well-written objectives that address CX indicators and which identify measurable outcomes expected as a result of the intervention. Each objective states:
 - *When the objective is to be achieved;*
 - *Where the objective occurs;*
 - *Who or what is targeted;*
 - *What is to change as a result of the intervention; and*
 - *How much change is to occur (or sets a minimum standard).*
- The Scope of Work includes two objectives designated as "Primary Objectives" that will be the focus of evaluation resources.
- The Scope of Work uses appropriate magnitude and methods for each objective that are likely to be sufficient in their power to achieve the stated objectives.

- Overall, the Scope of Work provides a well-organized and detailed “road map” of the project that describes:
 - *How much will be done;*
 - *Where activities will occur;*
 - *What will be done (e.g., educational methods, advertising, public relations, data collection methods, incentives, promotional items, etc.);*
 - *Staff, subcontractors, or consultants responsible for the activities;*
 - *Appropriate and reasonable tracking measures; and*
 - *An evaluation plan for each objective.*
- The Scope of Work reflects all elements of the project proposed in the Narrative/Scope of Work Summary.
- The evaluation plan for each objective measures and determines the progress made toward achieving each objective in the Scope of Work, and that each outcome achieved was the result of the intervention. This may require setting up intervention and control groups, data collection, allocating resources for staff, hiring consultants, data base development, data entry, statistical analysis, report writing, and dissemination of the evaluation findings. Some objectives may lend themselves to a case study evaluation design that uses data from sources such as community surveys, key informant interviews, and focus groups.
- The evaluation plan uses a design which is appropriate given the strategies, contract period, target group, and language(s) of the target group.
- The evaluation plan includes the following information for each objective:
 - 1) the amount of expected change or what is being measured;
 - 2) the instruments to collect data;
 - 3) how data will be collected;
 - 4) the location where data will be collected;
 - 5) how many will be measured;
 - 6) how the sample will be selected;
 - 7) the type of analysis to be done; and
 - 8) how the results will be disseminated.

NOTE: An allocation of at least 10 percent of the Project Budget for evaluation and designation of one staff person as the lead on evaluation activities is a **mandatory requirement**. At a minimum, 10 percent of the lead staff person's time must be dedicated toward overseeing and coordinating evaluation activities with CDHS/TCS and any evaluation consultant or subcontractor who may be hired. (This requirement must be evident in the Budget.)

Instructions

a. Guidelines for Completing Scope of Work

- (1) The eight column Scope of Work format must be used by all applicants to ensure consistency for review purposes by CDHS/TCS staff and reviewers. **Plans presented using a format other than that described below will NOT be reviewed.**
- (2) Carefully follow the Scope of Work requirements and preferences for funding. Provide all the required information and the detail necessary to make the proposed project clear. Applicants must provide all the required information as detailed in the instructions provided in this document.
- (3) The Scope of Work provides the basis for grant negotiations, and along with the Budget, becomes a legally binding document. The Scope of Work is referenced in the grant and is the "road map" that provides the direction, activities, and expected outcomes of the project. The approved Scope of Work, and any subsequent revision, is incorporated and made part of the grant. The Scope of Work can only be changed with prior approval from CDHS/TCS.
- (4) The Budget and Budget Justification should closely correspond to Scope of Work activities, deliverables, and timelines. For example, if youths are to receive incentive items for completing a community walk-around survey, funds should be budgeted for the purchase or development of the items. If promotional items are to be distributed to store owners, these should be identified in the Scope of Work, Budget, and Budget Justification.

NOTE: When completing the Scope of Work using the template provided, do **not** attempt to number the pages. Although page numbers do not appear on your computer screen, they are automatically tabulated by the template and **appear correctly at time of printing.**

b. Instructions for Completing Scope of Work

Complete the Scope of Work using the following instructions. Refer to Appendix F for sample format. See Attachment 5 for a blank form of Scope of Work. A complete format is also available on the CDHS/TCS website: www.dhs.ca.gov/tobacco.

NOTE: These instructions are not identical to instructions used by CDHS/TCS for previous RFAs. CDHS/TCS is presently designing an on-line Scope of Work format that will not be completed in time for agencies to use to submit applications in

response to this RFA. However, CDHS/TCS intends to transfer information from successful applications and negotiated contracts into the online format during late 2001 or early 2002. Therefore, applicants are required to submit their Scope of Work using this more uniform format.

(1) Header Information

The header information must be included on every page. Include your agency name and project name. The contract term is September 1, 2001 to June 30, 2004. The revision date is the date the plan is submitted to TCS (May 15, 2001). Leave the grant number and Progress Report Period blank.

(2) Column #1: Objectives/Activities/Evaluation

- (a) **Priority Area** – At the top of the column state the appropriate priority area(s) listed below for each objective. Objectives may address either only one priority area, or two priority areas simultaneously. The applicant does not need to address each priority area. Each selected priority area may have more than one objective.
- Counter Pro-Tobacco Influences
 - Reduce Exposure to Secondhand Smoke
 - Reduce Availability of Tobacco Products
 - Increase Availability of Cessation Services
- (b) **Outcome Objectives** – For each of the priority areas you select, present at least one outcome objective. Objectives must address CX indicators. Identify the CX indicator being addressed by placing its number (#) at the end of the objective. See Appendix M for a list of CX indicators and Appendix G for tips on writing outcome objectives.
- (c) **Primary Objective Designation** – Designate at least two outcome objectives in the Scope of Work to be “Primary Objectives.” Denote the designation of the objective as a “Primary Objective” by placing a (P) at the end of the objective. A “Primary Objective” is one that will be the focus of evaluation resources. You are expected to create a sound evaluation design for these objectives and prepare a final evaluation report using the document, *Tell Your Story: Guidelines for Preparing an Evaluation Report* available on the CDHS/TCS website: www.dhs.ca.gov/tobacco.
- (d) **Activities** – Use an annotated outline format to describe the activities to be conducted to achieve the objective. Describe each activity to be conducted in terms of how much will be done and where the activities will occur. In describing the activities, quantify the amount of work to be performed in order to help justify the budget request. You are

encouraged to use ranges. Indicate the length, frequency and number of trainings, presentations, site visits, educational materials, etc. Describe where the activities will occur. Indicate where appropriate, the geographical location or site where activities will occur, e.g., North County, housing projects, retail stores, rodeos, etc.

Projects are required to include these collaborative activities: 1) participation in regularly scheduled teleconferences; 2) participation in 1 to 2 annual statewide youth advocacy events; 3) participation in local youth coalition trainings provided by CC; and 4) participation in an annual statewide youth planning summit facilitated by CYAN.

Activities are to be grouped and organized using the “Major Intervention Categories” listed below as headings. These categories are purposively broad and are a means to organize similar activities. Evaluation activities must be categorized separately after all of the intervention activities under the heading “Evaluation Plan.” The Evaluation Plan will be described on the Scope of Work form. It is not a separate document.

Major Intervention Categories

Coordination/Collaboration Activities
Community Education Activities
Educational Materials Development
Incentive Items
Media Activities
Mini-Grants
Policy Activities
Promotional Items
School-based Education
Sponsorship Activity
Training Activities

Definitions and Examples of Major Intervention Categories

- **Coordination/Collaboration:** Describe who you will coordinate and collaborate with to avoid duplication of effort and maximize your resources. Describe what the activities will consist of. These may include coordinating with the Region, collaborating with other competitive grantees, collaborating with non-Proposition 99-funded groups, etc.

Example: Conduct 3-5 meetings or telephone conference calls with other TCS funded projects in the county to coordinate observation of rodeos, fairs, and other special events to identify tobacco company sponsorship and to share results.

- **Community Education:** Describe community education efforts such as advocacy activities, presentations, outreach, theater, counseling, small group education, letter writing, conducting public hearings or forums, filing complaints with government officials, etc.

Example: Conduct 3-5 presentations of 15 minutes to 1 hour in length to business groups and community groups such as the Rotarians regarding the issues of tobacco industry sponsorship and advertising at community events.

- **Educational Materials:** Describe educational materials development. This does not include development of advertisements. It refers to posters, pamphlets, curriculum, videos, flip charts, etc. Prior to proposing to develop any educational or media materials, check with the Tobacco Education Clearinghouse of California (TECC) to determine if a piece currently exists that could be used or could be modified for use. In the description of the educational material, describe development process, pilot testing/evaluation, printing and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced.

Example: Produce 10 copies of a 10-12 minute video exposing tobacco industry sponsorship in rural areas. The target audience will be key opinion leaders belonging to business and community organizations. Create objectives for the video and then develop a draft script that will be reviewed by coalition members, Project SMART Money Workgroup Members, and others knowledgeable of tobacco industry sponsorship. Work with other rural areas to identify events with tobacco sponsorship or advertising include in video taping. Identify, interview, and tape 2-3 rural Fairground Board members who supported policies to turn down tobacco sponsorship funds. Develop rough-cut of video. Get review and comments from 3-4 key opinion leaders and then finalize video. Dissemination will be in county only for use at presentations and to TECC.

- **Incentives:** Describe incentive items. Tobacco use prevention projects may use incentives to reinforce or motivate a behavior change. Incentives are only to be given to participants attaining a pre-specified goal. If you plan to use incentives, identify the types of items you intend to use for incentives and how they will be used. If you do not know the exact incentive item you will use, list possible examples, e.g., gift certificates, mugs, t-shirts, etc.

Example: Provide \$20 music store gift certificates to youth who participate in 2 days of youth tobacco surveys, at the completion of the second day.

- **Media Activities:** Describe media activities. This includes development of print, outdoor, or electronic advertisements, public relations activities, press events and other activities designed to either place your message in the media or obtain coverage of your message by the media (newspapers, radio, television reporters). Prior to proposing to develop any media materials, check with TECC to determine if a piece currently exists that could be used or could be modified for use. In the description of advertisements to be developed, describe development process, pilot testing/evaluation, production and dissemination. The description should include information on the format of the piece, content, length in pages or time, who the target audience is, and the number to be printed or produced. For public relations activities, press events, describe and quantify the nature of the event.

Example 1: Check with TECC to obtain samples of materials related to secondhand smoke exposure in the home and car. Develop, produce and place an informational story and accompanying graphic for a locally produced “zine” exposing the danger of secondhand smoke exposure in the home and car. The target audience for the ads will be youth and young adults. Run piece through appropriate focus groups to ensure that the message is understood and appropriate.

Example 2: Conduct one press conference for mainstream and ethnic radio, television, and print media to orient reporters and provide interviews regarding the significance of a recent local study highlighting the numbers of infants and children in the local health jurisdiction who are exposed to secondhand smoke in their family car. The evaluator, Health Officer, and Project Director will present findings at the press conference. Twenty-five press packages will be prepared for distribution in Spanish, English and other appropriate languages. The press packet will contain a description of the survey and the major findings, a sample press release, an advisory to parents, as well as background information on the health effects of secondhand smoke exposure on infants and children.

- **Mini-Grants:** Describe those grants that are awarded for short-term projects that support and enhance achievement of objectives. Describe the number to be awarded and the general type of projects they will be awarded for. Please review the Policy

Section of the Competitive Grantees Administrative and Policy Manual on the CDHS/TCS website: www.dhs.ca.gov/tobacco for requirements about mini-grants.

Example: Award 3-5 mini-grants through a competitive process to conduct educational activities and booths at sporting and community events to promote smoke-free homes and cars.

- **Policy Activities:** Describe those activities that relate to the development, facilitation and adoption of voluntary or legislated policies.

Example 1: Identify and review sample tobacco industry conflict of interest policies. Draft a sample policy and an educational kit explaining the issues with accepting tobacco industry funds.

Example 2: Work with 6-8 youth programs to adopt a policy prohibiting the acceptance of tobacco industry funds by the agency.

- **Promotional Items:** Describe promotional items: promotional items are used to generate visibility and interest in the program. They generally include items such as buttons, key chains, stickers, posters, or inexpensive visors. If you do not know the exact promotional items you will use, list possible examples, e.g., buttons, key chains, magnets, etc.

Example: Give away 5,000 helium balloons with an anti-tobacco use message on them at rodeo events where there is tobacco industry sponsorship or advertising.

- **School-based Education:** Describe school-based educational efforts that take place in pre-schools, elementary schools, middle schools, high schools, vocational schools, colleges, universities or home schools. Describe efforts such as presentations, youth recruitment, assessment activities, special events, campaigns, advocacy activities, small group education, etc. Please review the Policy Section of the Competitive Grantees Administrative and Policy Manual on the CDHS/TCS website: www.dhs.ca.gov/tobacco for requirements about working with schools.

Example: Conduct bi-annual recruitment presentations at all county high schools and middle schools. Distribute recruitment brochures, collect names and contact information of interested students.

- **Sponsorship Activity:** Describe sponsorships to be awarded that will counter the tobacco industry's pro-tobacco use messages in the community and that will develop community goodwill for anti-tobacco educational, media, and policy activities. Describe the number to be awarded and the types of events or programs that will be sponsored. Please review the Policy Section of the Competitive Grantees Administrative and Policy Manual on the CDHS/TCS website: www.dhs.ca.gov/tobacco for requirements about sponsorship activities.

Example: Award 9-12 sponsorships to local sports teams and events promoting smoke-free messages. In return for the sponsorship, the program will obtain a large banner promoting the team/event as smoke-free, publicity promoting the smoke-free message, our program's name as a sponsor, and disseminating educational materials or promotional items with a smoke-free message.

- **Training Activities:** Describe training activities. These are activities designed to train others in the development of a new skill. Training activities may target such things as training coalition members and volunteers in how to conduct data collection activities, target tobacco clerks on how to check identification or Women, Infants, and Children Supplemental Nutrition Program workers on how to assess secondhand smoke exposure. Training activities are more extensive than presentations and involve the use of a curriculum with specific learning objectives.

Example: Provide 3-6, 1 ½ hour trainings to youth 15- to 16-years of-age on how to participate in a youth tobacco purchase survey. The training will include parental permission, safety issues, data collection, and dealing with conflict. The training will include didactic and role playing sessions. A training curriculum will be adapted from the TCS Youth Tobacco Purchase Survey Protocol Manual.

- (e) **Evaluation Plan:** Present the Evaluation Plan immediately following the outline of the intervention activities under the heading, "Evaluation Plan." The Evaluation Plan is to be presented on the Scope of Work form. **Do Not Create a Separate Document.**

Note: An evaluation planning guide with suggested evaluation designs for each CX indicator is anticipated to be available by early April 2001 on the CDHS/TCS website: www.dhs.ca.gov/tobacco.

- 1) At the beginning of the Evaluation Plan, state what is expected to change or happen as a result of the interventions.

Example: There will be a minimum compliance rate of 85% with Labor Code Section 6404.5 among Korean businesses.

- 2) Describe what outcomes will be measured. Identify items such as attitudes, knowledge, beliefs, behaviors, cessation quit attempts, opinions, policy enactment, number of ads, illegal tobacco sales, etc.

- 3) Describe the Evaluation Design

- a. General Evaluation Design: Select and state one of the following three General Evaluation Designs:
 - Experimental with Randomized Groups
 - Quasi-Experimental with Non-equivalent Groups
 - Non-Experimental
- b. Describe the Intervention Group: State, “Intervention Group” and then provide the number of units (e.g., communities, agencies, stores, and individuals) to receive the intervention and that will be measured. This information may be a range, e.g., 50 to 75 stores. Clearly indicate whether the intervention group will be an “Intact Group” for the purposes of the evaluation design, e.g., the exact same units are measured each time a measurement is taken.
- c. Describe the Control Group: State, “Control Group” and then provide the number of units (e.g., communities, agencies, stores, and individuals) that will not receive the intervention but that will serve as the comparison, or control group. This information may be a range, e.g., 50 to 75 stores. Clearly indicate whether the control group will be an “Intact Group” for the purposes of the evaluation design, e.g., the exact same units are measured each time a measurement is taken. State “No Control Group” if you have no control group.
- d. Measurements: Select and state one of the following three types of measurements:
 - Post-test only
 - Pre-and Post-Test
 - Longitudinal

4) Data Collection Instruments:

- a. State, "Data Collection Instruments" and then describe all the instruments that will be used in the evaluation of the interventions. These may include written survey, key informant interview questionnaire, observational checklist, etc. If you are using or adapting the instrument from a particular source, please describe the source such as Operation Storefront.

Examples: Adapted Operation Storefront observational survey; semi-structured interview instrument including open-ended questions on primary reasons for being able to or not able to begin or sustain smoke-free pledge; telephone survey to be developed; California Youth Tobacco Survey instrument.

b. Data Collection:

- 1) **Methods:** Describe the methods that will be used to collect data. These may include focus groups, in person surveys, mail, observation, telephone, paper and pencil, photograph or video, etc.
- 2) **Where Data is Collected:** Describe where the data will be collected. This may include college campuses, homes, tobacco retail outlets, rodeos, clinics, pharmacies, shopping malls, the names of particular communities, etc.
- 3) **Sample Selection:** For each data collection method, describe how the sample will be selected. The selection method(s) may include simple random, random clusters, convenience, etc.

Example: A master list of all bars and restaurants with bars in each city and unincorporated area of the County will be prepared. A simple random sample of bars will be drawn with over-sampling in Vallejo and Dixon. All restaurants with bars will be included in the observational survey.

- c. **Type of Analysis:** Describe what type of analysis will be done. The type of analyses may include comparisons over time, comparisons with other groups, comparisons with a control group, etc.
- d. **Dissemination of Results:** Describe how you will disseminate the evaluation results. This may include presenting or publishing your finding to a professional journal, local media or

city council, use for public relations or media advocacy, posting results on PARTNERS, etc.

- e. Participation in State-administered evaluation: Include the following activity: "Participate in State-administered evaluation activities."

(3) Column #2: Copyright ©

Indicate if the activity involves development of a copyrightable product such as a brochure, poster, ad, manual, etc., by placing a copyright sign (©) in this column.

(4) Column #3: Program Deliverable Percentage

For each program deliverable, indicate a percentage that reflects the programmatic value or percent of effort for deliverables only. The program deliverable percentage reflects a combination of staff and budget resources to complete the deliverable. A program deliverable reflects products and services developed or conducted under the contract. The deliverable is inclusive of all the coordination and collaboration conducted in order to produce the deliverable. Do not assign a percentage to activities that describe coordination, collaboration, or planning only. For example, do not assign a percentage to coordination/collaboration and planning activities that lead to the accomplishment of a press event or educational training. The press event or educational training is the program deliverable. The total of the percentages assigned in the Scope of Work may not be greater than 100 percent and no program deliverable may be assigned a percentage of less than 0.5 percent.

At the end of the term of this Scope of Work, the program deliverable percentage will be used to help ascertain and calculate the maximum amount of funding the grantee should receive, based upon the completion of program deliverables. If any program deliverable is not completed satisfactorily or in its entirety, the program deliverable percentage will be used to determine a reduction in payment to the grantee.

(5) Column #4: Start/End Date

List the progress report periods during which each program and evaluation activity is expected to start and end. Be sure to state the progress report period in which you will begin to work on the development of the data collection instrument(s) and the progress report period in which the data collection instrument(s) will be finalized and the progress report period in which data collection will begin and end.

Use only the progress reporting periods below as the timeframes in this column. For example, 09/01 to 12/02. The progress report periods are as follows:

- **09/01-12/01**
- **01/02-06/02**
- **07/02-12/02**
- **01/03-06/03**
- **07/03-12/03**
- **01/04-06/04**

(6) Column #5: Who is Responsible

Indicate the position responsible for each program and evaluation activity. This may include program staff, volunteers, coalition members, consultants, or subcontractors. Indicate the **specific position**, such as Project Director or Evaluator. These positions must correspond to the positions used in the Budget Justification. You may abbreviate position titles (e.g., HE for Health Educator). Provide a key to identify position titles if using acronyms. Do not include agencies or individuals that **are not** within your control (e.g., city officials, schools, etc.).

(7) Column #6: Tracking Measures/Process Evaluation

List the items that are used to document and verify that program and evaluation activities are completed. These range from sign-in sheets, meeting logs, and press releases, to more complex measures such as focus group findings, survey instruments, and survey results. These measures verify that the activity occurred, provide supporting documentation for the progress report, and represent the process evaluation.

(8) Column #7-8: For Progress Report Use Only

These columns should be left blank. They are used only for completing progress reports.

8. Budget Section (Budget and Budget Justification = 15 points)

This section provides information and instructions on the Budget and Budget Justification that must be included in your application.

Criteria

Funding preference shall be given to applicants that:

- Submit reasonable Budgets for the proposed quality and quantity of activities in the Scope of Work;
- Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project;
- Propose salaries consistent with comparable State civil services positions;
- Provide the level of detail requested in the Budget and Budget Justification instructions;
- Designate one staff person as the lead on evaluation activities; and
- Allocate, at a minimum, 10 percent of the lead person's time toward overseeing evaluation activities, including the coordination of an evaluation consultant or subcontractor that may be hired.

Instructions

a. Budget Instructions

The Budget is a summary of the expenses described in the Budget Justification. It must be realistic, cost-effective, and appropriate to the proposed Scope of Work. The Budget is the controlling mechanism for expenditures and the basis for approval of invoices.

Prepare one Budget for the entire grant term, which is September 1, 2001 through June 30, 2004. This Budget must also reflect individual budgets for each FY within the grant term. Only use whole numbers and round to the nearest dollar. Please refer to Appendix I for the required Budget format.

Once approved, the Budget will be incorporated into the grant.

The Budget consists of eight (8) categories: A. Personnel Costs; B. Fringe Benefits; C. Operating Expenses; D. Equipment Expenses; E. Travel/Per Diem, and Training; F. Subcontracts and Consultants; G. Other Costs; H. Indirect Expenses.

The Subcontracts and Consultants and Other Costs categories may contain several line items with associated costs. Each line item within these two categories must be itemized in the Budget and Budget Justification.

b. Budget Justification Instructions

The Budget Justification: 1) describes and justifies the expenditures associated with the activities in the Scope of Work, and 2) helps evaluate the Scope of Work and Budget. Prepare one Budget Justification for the entire grant term. Only use whole numbers and round to the nearest dollar. The amounts in the Budget columns and Budget Justification must be the same. Please refer to Appendix J for the required Budget Justification format. This format is required to maintain a standardized review and audit trail.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff increase/decrease as program intensity fluctuates.

Personnel Costs

This category of the Budget Justification provides detail on the following:

(1) Position Title:

List all classifications or functional titles for positions for this grant. Management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper, etc.) budgeted at less than 10 percent should not be included in the Personnel Costs category, but should be included in the Indirect Expenses category. Any applicant having an established policy that includes such positions in the Personnel Costs category shall so indicate and attach a copy of the policy to the Budget Justification.

(2) Salary Range:

Identify the actual salary range and the frequency of pay periods (monthly, semi-monthly, bi-weekly, weekly, hourly) for each position. The salary range shall reflect the frequency that the employee is actually paid.

Indicate the salary range for each position based on the full-time salary, regardless of the actual time base budgeted. Each salary range shall allow for anticipated salary increases (e.g., merit salary adjustments, bilingual pay, etc.) through the end of the grant term.

Salaries shall not exceed those paid to State personnel for similar positions/classifications. Please refer to Appendix K, Comparable State Civil Service Classifications.

If any salary exceeds the comparable State salary range, then justify the excess. Any such justification shall be approved in writing by the State. CDHS/TCS may request additional information during grant negotiations.

(3) Percent of Time:

For each position indicate the percentage of time, using whole numbers, or the total hours per pay period. If the amount of time for a position varies from month to month, then indicate a percentage range of the time base.

(4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed. Pay periods are defined as follows:

Monthly = 12 pay periods per year
Semi-monthly = 24 pay periods per year
Bi-monthly = 26 pay periods per year
Weekly = 52 pay periods per year
Hourly = "X" number of hours per year

(5) Amount Requested:

Calculate and list the Amount Requested by FY for each position. (Salary X percent of time X number of pay periods = Total Salary). Add the total salaries for each position to obtain the Total for Grant Term. Please refer to Appendix J, Budget Justification.

NOTE: The total salary for each position has two restrictions.

(a) The total salary **cannot be less** than the amount computed by multiplying the lowest amount within the salary range X the lowest percentage of time X the lowest number of pay periods.

AND

(b) The total salary **cannot be greater** than the amount computed by multiplying the highest amount within the salary range X the highest percentage of time X the highest number of pay periods.

(6) Description of Duties:

Provide a summary of the responsibilities for each position. Indicate the position(s) responsible for the evaluation activities.

(7) Total Personnel Costs:

Add the amount budgeted for each position to compute the Total Personnel Costs for each FY and the grant term.

Fringe Benefits

Fringe benefits do not include employee leave, i.e., annual leave, vacation, sick leave, holidays, jury duty, and/or military leave training. Include employee leave in the salary paid to the employee.

List the benefits that your agency provides. Indicate the percentage rate and dollar amount requested for Fringe Benefits. If the percentage rate for benefits differs for various positions, indicate the low and high range, e.g., 20-25 percent.

If applicable, identify the positions that do not receive benefits with an asterisk (*).

Total Personnel Expenses

Add the Total Personnel Costs and Fringe Benefits to compute the Total Personnel Expenses for each FY and the grant term.

Operating Expenses

Provide a summary of non-personnel expenses that are not chargeable to Indirect Expenses and indicate the budgeted amount for each line item.

Operating Expenses include, but are not limited to, the following line items:

(1) General Expenses:

- a) Office Supplies -- Office supplies refer to general supplies such as pens, pencils, paper, etc.
- b) Postage -- Postage includes all mailing expenses.
- c) Duplicating -- Duplicating refers to photocopying expenses or reproduction costs of printed materials for small office jobs. This sub-line item also includes the tobacco project's share of the applicant's copy machine usage and costs for copier maintenance agreements and copier supplies.

(2) Communications:

Communications refer to the monthly charges and installation costs associated with the telephone system. This may also include costs for FAX lines and Internet accesses.

Cellular phones and monthly access fees are not authorized for this grant.

Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the applicant and approval of CDHS/TCS.

All funded grantees are required to obtain and maintain an active PARTNERS (CDHS/TCS Communications Network) account. While there is no charge for this subscription, your agency must budget for an Internet provider. Internet access fees are generally \$20-\$25 per month. Budget monthly fees for Internet access fees during the grant term. A modem is required to access PARTNERS and the purchase of a modem may be budgeted in the Equipment category.

(3) Printing:

Printing refers to the reproduction costs of training guides, business cards, brochures, posters, etc. for larger jobs and is usually completed by outside vendors.

(4) Space Rent/Lease:

Square footage shall not exceed 150 square feet per full-time equivalent (FTE) plus "reasonable" square footage for shared space such as conference rooms, storage space, etc.

Provide the total number of square feet and the budgeted amount to be charged to this grant. Consider any rate increases during the grant term.

Example:

$$\begin{aligned} 2 \text{ staff} \times 150 \text{ sq. ft.} \times \$1.25/\text{sq. ft.} \times 24 \text{ mo.} &= \$ 9,000 \text{ (Yr. 2 and 3)} \\ 2 \text{ staff} \times 150 \text{ sq. ft.} \times \$1.25/\text{sq. ft.} \times \underline{11 \text{ mo.}} &= \underline{3,000} \text{ (Yr. 3)} \\ \text{Total for 35 mo.} &= \underline{\underline{\$12,300}} \end{aligned}$$

If the total square footage per FTE exceeds State standards, then justify the need for the additional space.

(5) Equipment Rental:

List all rental equipment, quantify each item, and provide for each item the monthly rental rate, number of rental months, and the approximate dollar amount.

NOTE: "Renting/Leasing to own, Purchase/Leaseback, and Lease/Purchase" of equipment is not allowed.

(6) Audit Expenses:

All CDHS/TCS funded grantees are required to conduct an annual single organization-wide financial and compliance audit. The budgeted amount should represent the proportionate amount of this grant in relationship to your

business' total revenue. For example, if this grant represents 10 percent of your business' total revenue, then this grant would be responsible for no more than 10 percent of the total annual audit costs.

Provide the dollar amount allocated for the audit, the calculation for this amount, and the percentage this grant represents of your business' total revenue. Also identify the FY in which you operate (e.g., July 1 through June 30).

This Audit Expense line item plus the Indirect Expenses line item cannot exceed 25 percent of your Total Personnel Expenses (Personnel Costs plus Fringe Benefits).

Audit costs may be budgeted in this line item **or** in Indirect Expenses.

Grantees choosing not to allocate funds for audit purposes must provide a written justification explaining their compliance with the audit requirement.

(7) Total Operating Expenses:

Add all Operating Expense line items to compute the Total Operating Expenses for each FY and the grant term.

Equipment Expenses

Equipment expenses include the purchases of all computer (software and hardware) and office equipment. Due to the anticipated limited funding amount of grant awards from this RFA, equipment purchases will be considered on an individual basis and will depend upon the need of the applicant and approval of CDHS/TCS. CDHS/TCS will also consider the information that was presented in the Applicant Capability section of this application when determining approval.

Computer equipment includes, but is not limited to, personal computers, software, printers, scanners, external Zip drives, external hard drives and replacements, external modems, and uninterrupted computer power supply adapters.

Office equipment includes, but is not limited to, desks, conference tables, chairs, conference call speakers, telephones, fax machines, easels, cameras, etc. Refer to Policy Section, Chapter 400 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on equipment purchases.

List all equipment purchases, quantify each item, and provide the approximate dollar amount. Justify the need for each equipment purchase.

Travel/Per Diem and Training

Travel and training are to be consistent with the needs of the tobacco control project and support the Scope of Work. Travel expenses are reimbursed at the current State Department of Personnel Administration rates. Please refer to Appendix L, Travel Reimbursement Information.

Additionally, State funds may not be used for per diem and trainings/conferences associated with out-of state travel without prior written approval by CDHS/TCS.

(1) Local Travel/Training:

a) Local Travel:

Local travel expenses include airfare, meals, lodging, incidental expenses and mileage. This line item may include mileage for project-related activities (e.g., to conduct local surveys of in-store tobacco advertising, to attend local, Regional, or Ethnic Network meetings or trainings, etc.).

Provide the dollar amount requested for local travel that is directly related to completion of the Scope of Work.

b) Local Training:

Local training costs include registration fees for staff development or any other additional training events for professional, clerical, and administrative personnel; advisory board members; youth volunteers; committee members; etc., necessary for the completion of activities in the Scope of Work. Trainings may include courses on computer software, meeting facilitation, planning, leadership, etc.

Whenever possible, identify the training/conference, its location and date(s), the number of individuals attending, and the total cost to attend. Provide the dollar amount requested for local training costs that are related to completion of the Scope of Work.

(2) CDHS/TCS Travel and Training/Conferences:

a) General Description:

Number of Trainings/Conferences: CDHS/TCS and its statewide contractors (e.g., TECC, statewide public relations contractor, CYAN, Contra Costa Co., BREATH, Ethnic Networks, and others) typically conduct 12-14 trainings/conferences each year.

These trainings/conferences are specifically directed toward CDHS/TCS-funded projects; provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and

advocacy; and are a means to be connected to California's larger tobacco control movement.

Length of Trainings/Conferences: Each training/conference is usually one to two days. A statewide conference may be two to three days.

Training/Conference Topics: Topics generally cover a broad range such as educational materials development, youth advocacy, in-store advertising strategies, youth access to tobacco issues, coalitions, smoke-free bars, alternative tobacco, transnational tobacco issues, evaluation, and spokesperson training.

Training Sites: Each training is usually offered only once. Some other trainings are offered twice: one in Northern California (Bay Area or Sacramento counties) and another in Southern California (Los Angeles, Orange, or San Diego counties).

b) Travel/Training Budget Guidelines:

Required CDHS/TCS Trainings/Conferences

(1) New Grantee Orientation:

This is a one-day session for the Project Director, the Project Evaluator, and the person who is responsible for fiscal matters. This event occurs in Year 1 only and may be held in two different locations, one in Northern California and one in Southern California.

Budget \$250 per person (\$125 for travel/per diem and \$125 for registration) for three people to attend.

(2) Project Directors' Meeting/Evaluation Showcase:

This event is typically a three-day conference for one to two program and evaluation staff/consultants that occurs in alternate years. Budget this expense in fiscal years one and three.

Budget \$1200 per person (\$1000 for travel/per diem and \$200 for registration) for a maximum of two people to attend. The \$1000 for travel/per diem includes two to three nights of lodging and airfare.

(3) Trainings/Conferences Required by CDHS/TCS and Statewide Contractors:

CDHS/TCS requires attendance at 5-10 trainings/conferences per year. Each is usually one to two days for one to two program/evaluation staff.

Budget \$375 per person (\$250 for travel/per diem and \$125 for registration) for each person to attend 5-10 trainings/conferences.

Subcontracts and Consultants

Include both subcontractor agreements and consultant agreements. CDHS/TCS must review and approve **any** agreement costing \$5,000 or more.

A subcontractor is an individual or organization who performs a specialized task that is directly related to providing project services. Typical services provided by a subcontractor are conducting local surveys, developing anti-tobacco use education materials, coordinating large anti-tobacco use education events, etc. The use of subcontractors must be clearly defined in the Scope of Work.

A consultant is an individual whose level or area of expertise relating to the target population extends beyond that possessed by the applicant's project staff. Typical services provided by a consultant are advice on programmatic issues such as program evaluation, group facilitation, in-service training, program design and development, etc. Consultants are to be used only for activities directly related to the tobacco education and prevention program. The use of consultants must be clearly defined in the Scope of Work.

The rate paid to a consultant should be commensurate with his/her level of training, expertise, and national recognition. Every effort should be made to negotiate the lowest possible rate.

Salaries paid to a subcontractor shall not exceed those paid to State personnel for similar positions/classifications. Refer to Appendix K, Comparable State Civil Service Classifications.

List each subcontractor and consultant and provide the budgeted amount, contract term, and description of services for each.

Other Costs

(1) Educational Materials:

This line item includes the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, etc., necessary for program activities. Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on educational materials.

Provide a list of educational materials and the total amount requested. Do not itemize; use broad categories and estimates only.

(2) Promotional Items and Incentives:

Refer to Policy Section, Chapter 300 on the CDHS/TCS website:
www.dhs.ca.gov/tobacco for more information on promotional items and incentives.

(a) Promotional Items:

These are inexpensive miscellaneous items (e.g., buttons, key chains, stickers, posters, etc.) given to individuals in order to generate visibility and interest, to increase public awareness, and to promote attitudes which support tobacco control activities in the community. The use of promotional items must be referenced in the Scope of Work.

Provide a list of promotional items and the total amount requested. Do not itemize or give details of quantity, cost, or subtotal for each item.

(b) Incentives (Not To Exceed \$50 Per Participant Per Year):

These are rewards or awards given to intervention participants to reinforce a positive behavior change. Incentives cannot exceed \$50 worth of merchandise per person per year. **Cash rewards or awards are not permitted.** The use of incentives must be referenced in the Scope of Work.

Provide a list of incentives and the total amount requested. Do not itemize or give details of quantity, cost or subtotal for each item.

(3) Media, Public Relations, and Advertising:

This line item may include the development, purchase, or placement of Public Service Announcements (PSAs), paid advertisements on radio, TV, newspaper, magazines, billboards, bus shelter ads, organizational newsletters, and neighborhood advertising papers. Development of PSAs, radio, TV, and print advertisements may be budgeted either in this line item or in the Subcontracts and Consultants category. All planned media must be referenced in the Scope of Work.

Provide a list of the planned media that supports activities in the Scope of Work and the total amount requested.

(4) Additional Expenses:

This line item allows for expenditures that otherwise are not listed in this sample Budget Justification. If you use line items under Additional Expenses, then list them individually and be specific. e.g., fees for renting a meeting

room to conduct training or renting a booth at a health fair, etc. All expenditures for items listed under Additional Expenses must also be referenced in the Scope of Work.

Provide justification and the amount requested for each additional line item.

(5) Total Other Costs:

Add all Other Costs line items to compute the Total Other Costs for each FY and the grant term.

Indirect Expenses

Indirect Expenses are costs that are not directly associated with the project's deliverables. Examples of Indirect Expenses are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs, and any expenses related to the mandatory annual Financial and Compliance audit.

Provide a list of all Indirect Expenses charged to this grant and the dollar amount requested. **Indirect Expenses CANNOT EXCEED 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

Total Expenses

Add Personnel Costs, Fringe Benefits, Operating Expenses, Equipment Expenses, Travel/Per Diem and Training, Subcontracts and Consultants, Other Costs, and Indirect Expenses to compute Total Expenses for each FY and the grant term.

Evaluation Synopsis

Provide a brief synopsis at the end of the Budget Justification (after Total Expenses) on the ten (10) percent requirement for evaluation activities. Include the following in the evaluation synopsis:

- a. a list of all line items that will have any evaluation expenses;
- b. the dollar amount of the evaluation expenses per line item; and,
- c. the total amount budgeted for evaluation.

Consider the following factors when determining the evaluation budget.

- a. at least ten (10) percent of a lead staff person's time is required to oversee and coordinate the evaluation activities; and,

- b. the expenses for an evaluation consultant or subcontractor; and any operating expenses (such as duplicating, posting on PARTNERS, etc.) related to the evaluation activities.

Example of synopsis:

The amount of \$1 million is requested for this grant term. Therefore a minimum of \$100,000 is budgeted to meet the ten (10) percent evaluation requirement.

a. Personnel:

Project Director: Budget \$9,798 for ten percent of the Project Director's time for the 42 months of the grant term;

Project Coordinator: Budget \$15,677 for 20 percent of the Project Coordinator's time for the 42 months of the grant term.

Temporary Help: Budget \$2,384 (298 hours x \$8 per hour) for temporary help to input data;

- b. Operating Expenses: Budget \$4,500 for dissemination of evaluation findings (posting on PARTNERS, duplicating, mailing, etc.); and
- c. Subcontracts and Consultants: Budget \$67,641 to hire an Evaluation Consultant for approximately 1,127 hours.

Ten percent Evaluation Allocation = \$100,000

9. Additional Required Forms

The following documents require completion/signature by the person authorized to bind the application agency.

1. Drug-Free Workplace Certification (Attachment 6)
2. Agency Documentation Requirements (Attachment 7)
3. Proof of Non-Profit Status (No Attachment)

California public or private nonprofit organizations are eligible to apply for funds. For those applicants claiming private nonprofit status, a certification from the State of California, Office of Secretary of State, or a letter from the Department of the Treasury, IRS classifying the applicant as a private nonprofit must be included with the application (See Sample Form, Appendices B and C).

4. Certification of Non-Acceptance of Tobacco Funds (Attachment 8)

V. TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS

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APPLICATION COVER SHEET:
Advanced Youth Tobacco Control Coalitions

1. Applicant Information:

Applicant Name _____

Project Name _____

Mailing Address _____

City _____ Zip _____

County _____

Contact Person's Name _____

Telephone (_____) _____ FAX (_____) _____

E-mail _____

Federal Identification Number _____

2. Term of Grant: From 09/01/01 to 06/30/04

3. Total Budget Amount Requested for entire grant term of 09/01/01 to 06/30/04: _____

4. Location/and Geographic Coverage of Project: _____

5. Check one or more of the priority areas included in the application:

☐ Reduce Secondhand Smoke☐ Reduce Availability of Tobacco Products☐ Counter Pro-Tobacco Influences☐ Increase Availability of Cessation Services

6. The undersigned hereby affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge and accepts as a condition of a grant, the obligation to comply with the applicable state and federal requirements, policies, standards, and regulations. The undersigned recognizes that this is a public document and open to public inspection. Person authorized by the Board to sign (e.g., Board of Directors, Superintendent of Schools, etc).

Signature
of Agency Representative _____ Date _____

Print Name and Title _____

APPLICATION CHECKLIST

The following attachments and components must be completed and submitted in the order shown here. Applications that are missing any of these attachments or components will be considered non-compliant and will not be reviewed. Please note that you are not required to submit the Application Checklist.

<u>Attachments and Components</u>	<u>Check Mark</u>
• One Original Application	_____
• 6 copies of the Application	_____
• 6 copies of the Narrative/Scope of Work Summary	_____
➤ • Application Cover Sheet (Attachment 1)	_____
• Application Checklist (Attachment 2)	_____
• Table of Contents (Attachment 3)	_____
• Narrative/Scope of Work Summary (No Attachment, 15 page limit)	_____
• <u>Coordination</u>	
➤ a. Acknowledgement of Communication Form (Attachment 4)	_____
b. Letter from the Project Evaluator	_____
• <u>Applicant Capability</u> – (No Attachment, 10 page limit, not including Letters of Reference)	
a. Program/Evaluation Experience	_____
b. Administrative/Fiscal Experience	_____
c. Equipment	_____
d. Letters of Reference (3 required)	_____
• Scope of Work and Evaluation (Attachment 5)	_____
• Budget (No Attachment)	_____
• Budget Justification (No Attachment)	_____
➤ • Drug-Free Workplace Certification (Attachment 6)	_____
➤ • Agency Documentation Requirements (Attachment 7)	_____
• Proof of Non-Profit Status (No Attachment)	_____
➤ • Certification of Non-Acceptance of Tobacco Funds (Attachment 8)	_____

NOTE: ➤ **DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.**

TABLE OF CONTENTS

	PAGE
1. Narrative/ Scope of Work Summary	
2. Coordination	
3. Applicant Capability	
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ACKNOWLEDGEMENT OF COMMUNICATION FORM

For CDHS/TCS Advanced Youth Tobacco Control Coalitions RFA #TCS-01-103 Application

*Applicant Agency: Please copy this form and send it to the appropriate agency to complete. Requests for signatures must occur by April 30, 2001.***TO:**

Project Director

Agency Name

Agency Classification:

☐ Local Lead Agency☐ Regional Community Linkage Project☐ CYAN☐ Competitive Grantee☐ Ethnic Networks☐ Statewide Project☐ Other**FROM:**

Applicant Agency Representative

Applicant Agency Name

Please answer the following statements, sign, and return this form to the applicant agency immediately. Thank you.

I confirm that the applicant agency identified above communicated with me to coordinate and/or collaborate in the proposed Scope of Work activities for the CDHS/TCS Advanced Youth Tobacco Control Coalitions RFA # TCS-01-103 Application.

☐ **Yes**, there was adequate communication with the applicant agency to plan for coordination and/or collaboration where appropriate.

☐ **No**, there was not adequate communication with the applicant agency to plan for coordination and/or collaboration

If the applicant agency is planning to coordinate or collaborate with your agency briefly describe how:

Is there duplication of activities? ☐ **Yes** ☐ **No**

If yes, please explain: _____

Signature: _____

Date: _____

Print Name: _____

Phone No.: (____)_____

Exhibit A
Tobacco Control Section
Scope of Work

Grant Number:

Agency Name:

Project Name:

Grant Term:

Revision Date:

Report Period:

Objectives/Activities/Evaluation	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only	
						Document Number/ Letter	Actual Date(s) Completed
Priority Area:							

* Indicates a change

+ On file in office

Page__of__

DRUG-FREE WORKPLACE CERTIFICATION

STD. 21 (12/93)

I, the official named below, hereby swear that I am duly authorized legally to bind the prospective bidder, contractor or grant recipient to the certification described below. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

COMPANY / ORGANIZATION NAME:

OFFICIAL'S NAME:

DATE EXECUTED:

EXECUTED IN THE COUNTY OF:

CONTRACTOR or GRANT RECIPIENT SIGNATURE:

TITLE:

FEDERAL ID NUMBER:

The firm named above hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named contractor or grant recipient will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).
2. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:
 - (a) The dangers of drug abuse in the workplace,
 - (b) The person's or organization's policy of maintaining a drug-free workplace,
 - (c) Any available counseling, rehabilitation and employee assistance programs, and
 - (d) Penalties that may be imposed upon employees for drug abuse violations.
3. Provide as required by Government Code Section 8355(c), that every employee who works on the proposed contract or grant:
 - (a) Will receive a copy of the company's drug-free workplace policy statement, and
 - (b) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

At the election of above named firm, from and after the "Date Executed" and until _____ (not to exceed 36 months), the Department of Health Services (DHS) will regard this certificate as valid for all contracts or grants entered into between the above named firm and DHS without requiring the above named firm to provide a new and individual certificate for each contract or grant. If the above named firm elects to fill in the blank date, then the terms and conditions of this certificate shall have the same force, meaning, effect and enforceability as if a certificate were separately, specifically, and individually provided for each contract or grant between the above named firm and DHS.

AGENCY DOCUMENTATION REQUIREMENTS

The California Department of Health Services may audit contracts at any time. The documentation required for each audit may typically include, but is not limited to the following:

Fiscal Records

- A. General Ledger, Journals, and Charts of Accounts
- B. Cash Receipts and Disbursements Journal with Supporting Documents
- C. Vendor Invoices to Support Expenditures
- D. Program Remittance Advices from State Controller
- E. Payroll Records, including, but not limited to personnel time sheets signed/dated by the employee and supervisor reflecting actual time worked on program.
- F. Travel Log, Employee Expense Claims and appropriate receipts
- G. Billing Records (Program Log)
- H. State and Federal Tax Withholding Records
- I. Financial Statements and Independent Auditor's of County Auditor's Report
- J. Computation of the Fringe Benefit of Fund Sources
- K. Agency wide Budget and Listing of Fund Sources
- L. Copies of Monthly Invoices to the State
- M. Copies of Reimbursement Warrants and Remittance Advices from the State
- N. Administrative Manuals such as Personnel Policies and Procedures, Travel Policies and Procedures

Program Records

- A. Project Application (submitted in response to this RFA)
- B. Contract and Contract Amendments
- C. CDHS/TCS Competitive Grantee Administrative and Policy Manual
- D. Progress Reports and the Final Report
- E. Program Audit Reports of Site Visits
- F. Scope of Work, Parts I and II
- G. Correspondence Regarding the Contract and/or Subcontracts
- H. Program implementation records that document the number of people served, materials developed activities conducted, etc. These records may include, but are not limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc.

Other Records

- A. Board of Director's Minutes and Articles of Incorporation
- B. Non-Profit Approval Letter/Certification
- C. Organization Chart (Agencywide) and Duty Statements
- D. Program Correspondence Files
- E. Other Program Audits of the Facility

AGENCY DOCUMENTATION REQUIREMENTS

I certify that the above will be available upon request by the CDHS, CDHS/TCS Program/Contract Manager and/or Auditors.

Director of Agency:

Agency Financial Management Official:

Signature

Date

Signature

Date

Print Name and Title

Print Name and Title

CERTIFICATION OF NON-ACCEPTANCE OF TOBACCO FUNDS

Company/Organization Name

Please check one of the following:

- ☐ The applicant named above hereby certifies that it will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.
- ☐ Universities/Colleges Only
 The Principal Investigator of the university or college named above hereby certifies that he/she has not received funding from nor had an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company within the last five (5) years prior to the start date of the grant period. In addition, the Principal Investigator of the university or college named above hereby certifies that he/she will not accept funding from nor have an affiliation or contractual relationship with a tobacco company, any of its subsidiaries or parent company during the term of the grant from the California Department of Health Services, Tobacco Control Section.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date below, is made under penalty of perjury under the laws of the State of California.

Director of Agency or Principal Investigator:

Signature

Date

Print Name and Title

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SAMPLE INTERVENTION ACTIVITIES

Please remember that these interventions are neither required nor exclusive and are offered only as a guide or starting point for successful applicants in completing their Scope of Work.

Priority 1: Counter Pro-Tobacco Influences in the Community

Point of Sale Advertising & Promotion

- Promote policies to prohibit or restrict in-store tobacco advertising and promotions or outdoor signage not banned by the Master Settlement Agreement (MSA) at locations frequented by youth.
- Document tactics that target youth with increased signage or placement.
- Expose and counter the tobacco industry's tactic of offering monetary compensation for preferred in-store advertising space by documenting the level and frequency of tobacco industry slotting tactics, explore alternative product placement options, promote policies that ban slotting fee activities for tobacco (similar to what currently exists for alcohol).

Sponsorship/Corporate Giving

- Reduce the level of tobacco industry sponsorship of local organizations or events.
- Advocate for policies that prohibit acceptance of tobacco industry funds for donations, scholarships, event sponsorship, and/or corporate giving.

Celebrity Participation in Sporting and Entertainment Events

- Monitor, expose, and reduce the number of individuals who use their celebrity status to market tobacco products locally and overseas.
- Create media campaigns and letter writing campaigns to raise public awareness.
- Enlist support by obtaining celebrity pledges to not accept tobacco industry funds.
- Promote policies to prohibit celebrity events where tobacco industry sponsorship exists.

Exploitation of Ethnic Groups

- Create advocacy campaigns that protest the exploitation of certain ethnic images in tobacco industry products, advertising, and promotions. Letter writing campaigns, in addition to media and press events, should be utilized.

Environmental Issues

- Conduct educational campaigns to link tobacco production and consumption to the global impact of deforestation, litter, fires and/or the world food shortage.
- Advocate for policies establishing increased fines and increased enforcement of littering policies of cigarette butts at locations frequented by youth, allocating fines to fund cleanup and enforcement.

Priority 2: Reduce Exposure to Secondhand Smoke and Increase the Number of Smoke-free Public Spaces, Worksites, Schools, and Communities

Workplace Compliance

- Increase the number of small workplaces (e.g. cantinas, coffeehouses, corner stores) that enforce the smoke-free law by educating business owners and encouraging increased enforcement.

Smoke-Free Homes and Vehicles

- Decrease the number of children and family members exposed to secondhand smoke through an education campaign that is specifically designed to reach a particular population that is disproportionately targeted by the tobacco industry and experiences disproportionately high rates of tobacco use.
- Educate smokers on secondhand smoke hazards through a media advocacy campaign.

Tribal Policies

- Establish policies to limit secondhand smoke exposure in public places on tribal lands, which are not covered under AB 13, including restaurants, recreational facilities, tribal buildings, etc.

Smoke-Free Outdoor Areas

- Promote smoke-free policies that will prohibit smoking in places where youth congregate, such as public parks, amusement parks, zoos, recreational sites, outside entrances and exits of buildings.

Smoke-Free Outdoor Venues

- Institute policies to establish family and community events as smoke free or designated smoking areas at outdoor venues, such as concerts and festivals (Cinco de Mayo Festivals, Tet and New Year's Festivals, Pow-wows, Kwanza Festivals, etc.)

Smoke-Free Multiple Housing Units

- Advocate for smoke-free living spaces in ethnic neighborhoods where multiple housing units (apartment buildings and condominiums) exist. Gain support through tenant petitions, property owner and/or management education, corporate policies, and tobacco free housing registries.

Priority 3: Reduce Availability of Tobacco Products

Retail Tobacco Sales

- Advocate for policies that regulate how tobacco is sold in retail outlets by promoting retailer licensing and self-service display bans.
- Encourage law enforcement personnel to actively enforce Penal Code Section 308(a).
- Develop community collaborations to build more consistent enforcement action and policy promotion through community and merchant education.

Location of Tobacco Retail Outlets

- Document the location of tobacco retail sites near schools, parks, and other areas frequented by youth. Create an action plan to address the problem by promoting conditional use permits, and/or encouraging mall, shopping center and plaza lease agreements to prohibit businesses that sell tobacco products.

Priority 4: Increase Availability of Cessation Services

Community Cessation Services

- Conduct a campaign to raise awareness, and increase usage, of on-site cessation services at high schools.

CDHS/TCS workgroups address reducing secondhand smoke, point-of sale, alternative tobacco, and transnational tobacco issues. In addition, three statewide campaigns will be ongoing during the contract term of funded projects: 1) Project SMART (Sponsorship Mission: Avoid Reliance on Tobacco) Money which focuses on tobacco industry sponsorships and compliance with MSA; 2) Communities of Excellence, which focuses on community assessment, planning, and action regarding tobacco control issues; and 3) Point-of-Sale Environment, which is in the developmental stage and will address issues related to tobacco and the point-of-sale environment. Applicants should allocate time and resources to participate in statewide campaigns and activities that are similar in nature to their proposed Scope of Work. Workgroup members and campaign participants will, in many cases, be able to provide technical assistance, training, and materials to grantees.

If a project intends to participate in the Point-of-Sale Environment Statewide Campaign, staff should be prepared to spend approximately 20 percent of the project's time on the campaign activities during the period April 2002 to June 2004. In the Scope of Work/Workplan, the following language may be used as an "Activity" to describe participation in the campaign:

"Participate in the Point-of-Sale Environment Statewide Campaign to implement activities focused on the following issues (insert all of the following that apply and that are related to your outcome objective – point-of-sale tobacco advertising, tobacco retail licensing, tobacco self-service display bans, facilitate increased enforcement of the Lee Law or local laws addressing outdoor tobacco signage at businesses)."



State of California

Bill Jones

Secretary of State

P.O. Box 944230
Sacramento, CA 94244-2300
(916) 657-3537

APPENDIX B

STATEMENT BY DOMESTIC NONPROFIT CORPORATION

THIS STATEMENT MUST BE FILED WITH THE
CALIFORNIA SECRETARY OF STATE (SECTION 6210, 8210, 9660 CORPORATIONS CODE)

A \$10 FILING FEE MUST ACCOMPANY THIS STATEMENT

1.

DO NOT ALTER PREPRINTED NAME: IF ITEM 1 IS BLANK, PLEASE ENTER CORPORATE NAME AND NUMBER

DO NOT MARK IN THIS SPACE

PLEASE READ INSTRUCTIONS ON BACK OF FORM.

PLEASE TYPE OR USE BLACK INK WHICH WILL BE SUITABLE FOR MICROFILMING.

THE CALIFORNIA CORPORATION NAMED HEREIN, MAKES THE FOLLOWING STATEMENT

2. STREET ADDRESS OF PRINCIPAL OFFICE
(IF NONE, COMPLETE 3-3B)

SUITE OR ROOM

2A. CITY AND STATE

2B. ZIP CODE

(DO NOT USE P.O. BOX NO.)

3. MAILING ADDRESS

SUITE OR ROOM

3A. CITY AND STATE

3B. ZIP CODE

THE NAMES OF THE FOLLOWING OFFICERS ARE:

4. CHIEF EXECUTIVE OFFICER

4A. STREET ADDRESS (SEE REVERSE SIDE)

4B. CITY AND STATE

4C. ZIP CODE

5. SECRETARY

5A. STREET ADDRESS (SEE REVERSE SIDE)

5B. CITY AND STATE

5C. ZIP CODE

6. CHIEF FINANCIAL OFFICER

6A. STREET ADDRESS (SEE REVERSE SIDE)

6B. CITY AND STATE

6C. ZIP CODE

DESIGNATED AGENT FOR SERVICE OF PROCESS: (ONE AGENT IS REQUIRED BY CALIFORNIA STATUTORY PROVISION.
PLEASE READ ITEMS 7 AND 8 ON REVERSE SIDE OF FORM.)

7. NAME

8. CALIFORNIA STREET ADDRESS IF AGENT IS AN INDIVIDUAL (DO NOT USE P.O. BOX) DO NOT INCLUDE ADDRESS IF AGENT IS A CORPORATION

COMMON INTEREST DEVELOPMENT ASSOCIATION

SECTION 1350, ET SEQ., CIVIL CODE

9. ☐ THIS CORPORATION **IS NOT** AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT (IF THIS BOX IS CHECKED, PROCEED TO NUMBER 11.)

10. ☐ THIS CORPORATION **IS** AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT UNDER THE DAVIS STIRLING COMMON INTEREST DEVELOPMENT ACT. (IF THIS BOX IS CHECKED, COMPLETE 10A AND 10B)

10A. BUSINESS OFFICE STREET ADDRESS OR PHYSICAL LOCATION OF DEVELOPMENT, INCLUDING ZIP CODE

10B. NAME AND ADDRESS OF THE MANAGING AGENT

11. I DECLARE THAT I HAVE EXAMINED THIS STATEMENT AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

DATE

TITLE

TYPE OR PRINT NAME OF SIGNING OFFICER OR AGENT

SIGNATURE

INSTRUCTIONS FOR COMPLETING STATEMENT BY DOMESTIC NONPROFIT CORPORATION

- FILING PERIOD:** All Nonprofit Corporations must file within 90 days after filing articles of incorporation. Thereafter, corporations must file annually by the end of the calendar month of the anniversary date of its incorporation, and when the agent for service of process or his/her address is changed.
- FILING FEE:** All Nonprofit Corporations must submit a ten dollar (\$10.00) filing fee with this statement. (Section 12210(B) Government Code.) Check or money order should be made payable to Secretary of State. PLEASE DO NOT SEND CASH.
- ITEMS 2—2B:** The address to be entered is the STREET address of the corporation's principal office. Enter room or suite number and ZIP code. Do not use post office box number.
- ITEMS 3—3B:** The address to be entered is the MAILING ADDRESS for the corporation.
- ITEMS 4—6C:** Complete by entering the names and complete business or residence addresses of the corporation's chief executive officer (i.e., president, chairperson or other title), secretary, and chief financial officer (i.e., treasurer, chairperson or other title). No list of additional officers should be submitted. Do not use post office numbers.
- ITEM 7:** Sections 6210 and 8210 of the Corporations Code make it mandatory that domestic Nonprofit Corporations designate an agent for service of process. An agent for service of process is one who may accept papers in case of a lawsuit against the corporation. The agent may be an individual who is an officer or director of the corporation, or any other person. The person named as agent must be a resident of California. Only one individual may be named as agent for service of process. Or, the agent may be another corporation. However, a corporation named as agent for service of process for another corporation must have on file in this office, a certificate pursuant to Section 1505, Corporations Code. The certificate is required ONLY if a corporation is named as agent for service of process for other corporations. A CORPORATION CANNOT BE NAMED AS AGENT FOR SERVICE OF PROCESS FOR ITSELF. (For example, ABC Corporation cannot name ABC Corporation as its agent for service of process.)
- ITEM 8:** If the agent is a person, enter name and complete business or residence address. If agent is another corporation, enter name of corporation only, and do not complete address portion. Only one agent for service of process is to be named.
- ITEMS 9—10B:** Section 1350, et seq., Civil Code mandates that a corporation formed on behalf of common interest development associations furnish specific additional information when filing a statement pursuant to Section 1502, California Corporations Code. If the corporation was not formed to manage a common interest development the box in Item 9 is to be marked and Items 10 - 10B are to remain blank. If the corporation was formed to manage a common interest development then the box in Item 10 is to be marked. Item 10A is to be completed with the address of the business or corporate office unless the office is off-site, then Item 10 is to be completed with the nine-digit ZIP code, front street, and nearest cross street for the physical location of the common interest development. Item 10B is to be completed with the name and address of the association's managing agent (Section 1363.1, Civil Code), if any.
- ITEM 11:** Printed name and signature of corporate officer or agent are required to complete the form. Enter title and date signed.
- (NOTE) ITEM 1:** Do not alter the preprinted corporate name. If corporation name is not correct, please attach note of explanation. If space is blank enter exact corporate name and number, do not include your DBA name.
- FAILURE TO FILE THIS FORM BY THE DUE DATE IN ITEM 1 WILL RESULT IN THE ASSESSMENT OF A \$50.00 PENALTY. (Sections 6810, 8810, Corporations Code, and Section 25936, Revenue and Taxation Code.)
- NOTE:** Your canceled check is your receipt of filing. We suggest that you make a copy of this form before mailing, if you wish one for you files.

INTERNAL REVENUE SERVICE
DISTRICT DIRECTOR
P. O. BOX 2508
CINCINNATI, OH 45201

DEPARTMENT OF THE TREASURY

Date: Employer Identification Number:
xx-xxxxxxx
DLN:
xxxxxxxxxx
Contact Person:
XXXX XXXXX
Contact Telephone Number:
(XXX) XXX-XXXX
Accounting Period Ending:
March 31
Foundation Status Classification:
170 (b) (1) (A) (vi)
Advance Ruling Period Begins:
January 22, 1997
Advance Ruling Period Ends:
March 31, 2001
Addendum Applies:
None

Dear Applicant:

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509 (a) of the Code. However, we have determined that you can reasonably expect to be a publicly supported organization described in sections 509 (a) (1) and 170 (b) (1) (A) (vi).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period, you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, we will classify you as a section 509 (a) (1) or 509 (a) (2) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period, we will classify you as a private foundation for future periods. Also, if we classify you as a private foundation, we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4940.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of \$100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Donors may deduct contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning January 22, 1997.

You are not required to file Form 990, Return of Organization Exempt From income Tax, if your gross receipts each year are normally \$25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally \$25,000 or less, and sign the return.

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of \$20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed \$10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding \$1,000,000 in any year, the penalty is \$100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding \$1,000,000 shall not exceed \$50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual return available for public inspection for three years after the return is due. You are also required to make available a copy of your exemption application, any supporting documents, and this exemption letter. Failure to make these documents available for public inspection may subject you to a penalty of \$20 per day for each day there is a failure to comply (up to a maximum of \$10,000 in the case of an annual return).

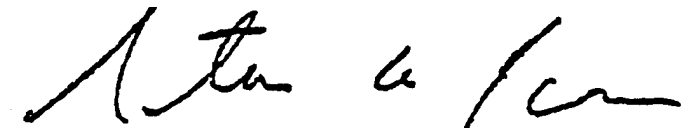
You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'A. L. ...', is written over the printed name of the District Director.

District Director

PARTIAL LIST OF TOBACCO COMPANY SUBSIDIARIES

This list is not a comprehensive resource and should not be relied upon to be complete or correct since changes in corporate and product ownership commonly occur.

Parent Company: Philip Morris Incorporated, Philip Morris International, Inc., Kraft Foods, Inc., and Miller Brewing Company.

KRAFT Foods, Selected Brands

Coffee:	Maxwell House, Sanka, Yuban, General Foods, International Coffees, Maxim, Starbucks
Soft Drinks:	Country Time, Crystal Light, Kool-Aid, Tang, Capri Sun
POST Cereals:	Alpha-Bits, Banana Nut Crunch, Blueberry Morning, Cranberry Almond Crunch, Frosted Shredded Wheat, Fruit & Fiber, Golden Crisp, Grape-Nuts, Grape-Nuts O's, Great Grains, Honey Bunches of Oats, Honeycomb, Honey Nut Shredded Wheat, Natural Bran Flakes, Oreo O's, Pebbles, Raisin Bran, Shredded Wheat, Shredded Wheat 'n Bran, Spoon Size Shredded Wheat, Toasties, Waffle Crisp, 100% Bran
Condiments & Sauces:	Kraft mayonnaise, Kraft barbecue and grilling sauces, Miracle Whip, Bull's-Eye barbecue and grilling sauces, Kraft Sauceworks cocktail, horseradish, sweet 'n sour and tartar sauces.
Confectioneries:	Altoids mints, Callard & Bowser toffees, La Vosgienne, Toblerone and Tobler chocolates
Dry Desserts:	D-Zerta, Jell-O, Minute brand tapioca
Dry Grocery:	Baker's chocolate and coconut, Calumet baking powder, Oven Fry coatings, Shake 'N Bake, Sure-Jell and Certo pectins
Ethnic Foods:	Taco Bell dinner kits, salsa and meal components
Meals/ Side Dishes:	Kraft macaroni & cheese, Minute rice, Stove Top stuffing mix, Stove Top Oven Classics, Velveeta shells & cheese
Salad Dressing:	Good Seasons mixes, Kraft, Seven Seas
Snacks:	Handi-Snacks, Kraft

Toppings:	Dream Whip whipped topping mix, Kraft dessert toppings, Cool Whip
Cheese:	
Parmesan/ Romano:	Kraft, Kraft Free, Di Giorno
Natural:	Kraft, Cracker Barrel, Harvest Moon
Processed American Cheese:	Kraft Deluxe, Kraft Singles, Kraft Super Slice, Kraft Cheez Whiz, Light n' Lively, Old English, Velveeta
Cream Cheese:	Philadelphia, Philly Flavors, Temp-Tee
Other Cheeses:	Athenos, Churny, Di Giorno, Hoffman's, Polly-O
Dairy Products:	Breakstone's sour cream, cottage cheese and dips, Breyers yogurt, Jell-O yogurt, Knudsen sour cream and cottage cheese, Light n' Lively low-fat cottage cheese, yogurt, Sealtest cottage cheese and sour cream
Fresh Pasta & Sauces:	Di Giorno
Processed Meats:	Oscar Mayer hot dogs, cold cuts and bacon, Osacar Mayer Lunchables, Louis Rich turkey products (hot dogs, cold cuts, and bacon), Louis Rich Carving Board sliced meats
Pickles & Sauerkraut:	Claussen
Pizza:	Di Giorno, Jack's, Tombstone

KRAFT Foods International, Selected Brands

Cheese:	Dairylea, Eden, El Caserio, Invernizzi, Kraft, P'tit Quebec, Philadelphia, Sottilette
Coffee:	Blendy, Carte Noire, Gevalia, Grand' Mere, Jacobs Kronung, Jacobs Monarch, Jacques Vabre, Kaffee HAG, Kenco, Maxim, Maxwell House, Saimaza, Splendid

Confectioneries: Aladdin, Cote d'Or, Daim, Figaro, Freia, Hollywood, Korona, Lacta, Marabou, Milka, Poiana, Prince Polo, Suchard, Sugus, Terry", Toblerone Powdered Soft Drinks, Clight, Frisco, Q-Refresko, Tang

Other: Bird's custard, Estrella snacks, Kraft ketchup, Kraft peanut butter, Magic Moments pudding, Miracle Whip/Dream Whip spread, Miracoli pasta, Simmenthal canned meats, Vegemite spread

Miller Trademark Brands

Miller Lite, Miller Lite Ice, Miller Genuine Draft, Miller Genuine Draft Lite, Miller High Life, Miller High Life Light, Miller High Life Ice, Miller Beer, Sharp's non-alcohol brew, Milwaukee's Best, Milwaukee's Best Light, Milwaukee's Best Ice, Meister Brau, Meister Brau Light, Magnum Malt Liquor, Henry Weinhard's Private Reserve, Henry Weinhard's Dark, Henry Weinhard's Porter, Henry Weinhard's Amber Ale, Henry Weinhard's Pale Ale, Henry Weinhard's Hazelnut Stout, Henry Weinhard's Blackberry Wheat, Henry Weinhard's Hefeweizen, Henry Weinhard's Red Lager, Hamm's, Hamm's Draft, Hamm's Light, Olde English 800 Malt Liquor, Olde English 800 Ice, Mickey's Malt Liquor, Mickey's Ice, Red Dog, ICEHOUSE, Southpaw Light, ICEHOUSE Light, Leinenkugel's Original Premium, Leinenkugel's Light, Leinenkugel's Northwoods Lager, Leinenkugel's Genuine Bock (seasonal), Leinenkugel's Red Lager, Leinenkugel's Winter Lager (seasonal), Leinenkugel's Autumn Gold (seasonal), Leinenkugel's Honey Weiss, Leinenkugel's Berry Weiss (seasonal), Leinenkugel's Auburn Ale, Leinenkugel's Big Butt Doppelbock (seasonal), Leinenkugel's Maple Brown Lager, Leinenkugel's Creamy Draft (draft only), Leinenkugel's Hefeweizen (draft only), Celis White, Celis Grand Cru, Celis Pale Ale, Celis Golden, Celis Raspberry, Celis Dubbel Ale, Pale Rider Ale, Shipyard Export Ale, Goat Island Light Ale, Fuggles Pale Ale, Old Thumper Extra Special Ale, Blue Fin Stout, Longfellow Winter Ale (seasonal), Longfellow India Pale Ale (seasonal) Mystic Seaport Pale Ale, Chamberlain Pale Ale, Sirius Summer Wheat Ale (seasonal), Prelude Ale (seasonal), Molson Golden, Molson Export Ale, Molson Canadian, Molson Canadian Light, Molson Light, Molson Ice, Molson Exel non-alcohol brew, Molson Red Jack Ale, Foster's Lager, Foster's Special Bitter, Sheaf Stout, Presidente (from Cerveceria Nacional Dominicana, Santa Domingo, Dominican Republic), Shanghai (from Shanghai Foster's Brewery Co. Ltd., Shanghai, People's Republic of China)

Parent Company: US Tobacco

Wines: Chateau Ste. Michelle, Columbia Crest, Domaine Ste. Michelle, Villa Mt. Eden, Conn Creek, Colour Volant

Beer: Bert Grant's Ale

DIRECTIONS TO THE TOBACCO CONTROL SECTION (TCS)

CDHS/TCS is located at 601 North 7th Street in the Continental Plaza building. There is visitor parking located at the 2nd Continental Plaza entrance. **There is a charge for parking (\$6.00 for all day not including in and out, or .75 cents every half-hour), but there is also some minimal free parking available along the street.** The entrance to the building is on the south side of the building, which faces Richards Boulevard. Check in with the security guard at the front entrance, and they will call our staff to come and meet you.

From the Sacramento International Airport to TCS:

Take I-5 South and take the Richards Boulevard exit (**If you pass J Street, you have gone too far**). At the exit light, turn left under the freeway. Follow Richards Boulevard to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From Fresno to TCS:

Take I-5 North toward Sacramento. You will see exits for Highway 50 and Business 80. REMAIN IN THE LEFT LANES AND CONTINUE NORTH! You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. (**IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!**). Turn right at the off-ramp light and continue to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From South Lake Tahoe to TCS:

Take Highway 50 toward Downtown Sacramento. You will pass exits for Business 80/Reno and Highway 99. REMAIN IN THE LEFT LANES UNTIL YOU PASS THESE EXITS! Continue on Highway 50 until you see signs for I-5 North (Redding). You will pass exits for 16th and 10th Streets. You will need to get in the far RIGHT lanes TO TAKE THE I-5 North exit. After taking the I-5 North exit, you will quickly need to merge to the left. You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. (**IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!**) Turn right at the off-ramp light and continue to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From the Bay Area to TCS:

There are two ways to get to TCS. It depends on which freeway you take.

1. Heading East on Business 80/Highway 50 toward Sacramento/South Lake Tahoe: Cross the Sacramento River, and take the I-5 North (Redding) exit. You will pass the Q and J

Street exits. Take the Richards Boulevard exit. **(IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!)** Turn right at the off-ramp light and continue to North 7th Street. Turn left at North 7th Street. Continental Plaza is the 3rd building on the right.

OR

2. Heading East on Business 80 toward Sacramento/South Lake Tahoe: **(after Davis and before West Sacramento)** - - take Interstate 80/Reno. Interstate 80 will cross the Sacramento River and will swing around to intersect with I-5. Take the I-5 (South) exit toward downtown Sacramento. You will pass the Garden Highway exit and cross over the American River. Take the Richards Boulevard Exit. **IF YOU PASS THE J STREET AND Q STREET EXITS, YOU HAVE GONE TOO FAR!** Turn left at the off-ramp light and continue on to North 7th Street. Turn left at North 7th Street. Continental Plaza is the 3rd building on the right.

Exhibit A
Tobacco Control Section
Scope of Work
INSTRUCTIONS OVERVIEW

Grant Number:

Grant Term: 09/01/01-06/30/04

Agency Name:

Revision Date: 05/15/01

Project Name:

Report Period:

Objectives/Activities/Evaluation	©	%	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only	
						Document Number/ Letter	Actual Date(s) Completed
Priority Area: State one or two of the priority areas (e.g. Counter Pro-Tobacco Influences in the Community; Reduce Exposure to Secondhand Smoke; Reduce Availability of Tobacco Products; or Increase Availability of Cessation Services).							
<p><i>In outline format, state an objective and following each objective, describe the intervention to be implemented to achieve the objective. Immediately following the description of the intervention, describe the outcome evaluation plan. <u>Process evaluation activities are listed in column #6.</u></i></p> <p>1. Outcome Specific Objective: The objectives should be measurable and clearly identify the expected result or outcome. It should state how much change will occur, for what target group, when the objective will be met and what location. A good objective is measurable, quantifiable, and time limited.</p> <p><i>Example: By 4/30/04 the City of OZ will enact a policy to license tobacco retailers.</i></p> <p>A. Intervention: Use an outline format to describe the activities to be conducted to achieve the objective. Group activities under major intervention categories: Coordination/Collaboration; Community Education; Educational Materials Development; Incentive Items; Media; Mini-Grants; Policy; Promotional Items; School-based Education; Sponsorship; and Training, with activities listed chronologically within each category. Describe the planning, collaboration, educational, policy, media and training activities used to achieve the objective. List these in chronological order. The description should describe your target group, what will be done, and how much will be done. This should include the steps, methods and strategies to educate and mobilize the community. The intervention may include: meetings, presentations, trainings, letter writing campaigns, press conferences, materials development, etc.</p> <p><i>Example: Conduct 2-4 community forums on tobacco retailer licensing with participation from law enforcement, youth, parents and other interested parties. Topics to be addressed will include the problem of illegal sales of tobacco products, solutions, and action steps.</i></p> <p>B. Outcome Evaluation Activities: Describe the evaluation design, methodology, data collection and analysis, and plan for disseminating evaluation findings.</p>	<p>Indicate if the activity involves development of a product such as a brochure, poster, ad, manual, etc. for which there should be a copy-right by placing the sign ©</p>	<p>For each program deliverable, indicate a percent between 0.5% and 100% that reflects the value or percent of effort by staff and budget. Total %s assigned may not be greater than 100%.</p>	<p>List the progress report periods during which each program and evaluation activity is expected to start and end.</p> <p>The progress report periods are: 9/01-12/01 1/02- 6/02 7/02-12/02 1/03-6/03 7/03-12/03 1/04-6/04.</p>	<p>Identify who is responsible for conducting or participating in the major activities. This may include staff, coalition members or community volunteers, evaluation consultant, etc.</p> <p>Please list the position title. If using acronyms, please indicate what the acronym stands for.</p>	<p>Describe the tracking measures which document that the process oriented activities were completed</p> <p>Examples of tracking measures include: sign-in sheets, press releases, survey instruments, evaluation reports, etc. Some tracking measures, such as meeting notes, individual registration forms completed, and others may be kept "on file in the office." Place a plus sign (+) beside the tracking measure you would like to keep on file in your office. <u>These items must be on file in the event of an audit.</u></p>		

* Indicates a change
 + On file in office

Page__of__

TIPS FOR WRITING OUTCOME OBJECTIVES

Once you have assessed your community's needs, identified community resources, and conducted a prioritization process, you are ready to begin writing objectives. Well-written objectives enable you to formulate your intentions in concrete terms; they are a key to successful program design, implementation and evaluation.

Projects are required to develop outcome objectives with specific, measurable results. However, process objectives may also be appropriate for some community activities.

WHAT IS AN OUTCOME OBJECTIVE?

An outcome objective is a statement of the results one hopes to achieve through intervention activities. It is specific, time-limited and measurable.

Outcome Objectives specify:

- Who or what is expected to change
- What and how much will change
- Where the change will occur
- When the change will occur

Outcome Objectives focus on the community-level social norm change, rather than individual-level change and address the priority areas: counter pro-tobacco influences, reduce exposure to secondhand smoke, reduce the availability of tobacco, and promote tobacco cessation services.

Example: Extent of in-store tobacco advertising

Priority Area: Counter Pro-Tobacco Influences

Objective: By May 30, 2004, 40 of 75 chain and independent pharmacies in Bay City will have eliminated all in-store tobacco advertising and promotions.

HOW TO WRITE AN OUTCOME OBJECTIVE

Developing specific, measurable outcome objectives requires time, systematic thinking and an understanding of the expected effect of a program. Well-written outcome objectives provide important guidance for the implementation and evaluation of an intervention.

Example: Extent of enforcement/compliance with state/local smoke-free worksite law(s)

Priority Area: Reduce Exposure to Secondhand Smoke

Objective: By June 30, 2002, at least 85 percent of 100 businesses in Korean Town will demonstrate and maintain compliance with Labor Code 6404.5 as determined by an annual observational survey.

When writing outcome objectives, consider the following questions:
(Answers are based on the example above)

1. Is it specific?

- **Who or what** is expected to change or benefit?
Example: Percentage of businesses demonstrating and maintaining compliance.
(measured by: annual observational survey).
- **What/how** much change or benefit is expected?
85 percent of 100 businesses in compliance.
- **Where** will the change occur?
Korean Town
- **When** will the change occur or is a completion date specified?
By June 30, 2002

2. Is it observable and measurable?

The outcome must be something measurable e.g., self-reports or something seen, counted, heard, smelled, etc. In the above example, the project will observe via a survey whether businesses are in compliance with the law(s).

3. Is it achievable/reachable?

Write outcome objectives that are likely to be achieved. A baseline measure will assist you in estimating the level of success you might expect to achieve. Decide whether your intervention is realistic by considering baseline measurements as well as by using your knowledge and experience in this area. Be realistic. Don't overestimate the probable outcome. For example, an outcome objective of 90 percent merchant compliance with sidewalk tobacco sign removal may be unrealistic if, at the start of the intervention, only 30 percent of the retailers are in compliance. An outcome objective of 50 percent to 60 percent may be more realistic, and is therefore an achievable outcome objective.

If you don't know the baseline or current level of a proposed outcome, you may not be able to estimate how much change is achievable. You can gather such information before you finalize your outcome objective, or you can write your objective but end it with a note stating, for example, "percent change is an estimate and may change following the assessment of baseline/current levels."

4. Is it meaningful and important?

Even if achievable, an outcome may not be sufficiently meaningful and important to be justified. In the above cited example, if, at the beginning of your intervention, 80 percent of the businesses are already in compliance, then an intervention that will at best yield only a modest compliance increase from 80 percent to 85 percent may not be worth the effort. One way to check whether the outcome of your objective is worthwhile is to give it the "who cares" test. For example achieving one thousand pledges to establish smoke-free homes is meaningless if smokers continue to smoke in homes. A more meaningful outcome would be to have people report on whether they have actually established and maintained a smoke-free home. There are no hard and fast rules. Consider the required financial and human resources and the cost-benefit of the intervention.

COPYRIGHT AND OWNERSHIP OF MATERIALS

The following is the required copyright and ownership of materials language in the CDHS/TCS grant:

- A. The State shall be the owner of all rights, title and interest in, not limited to the copyright to, any and all Works created, provided, or developed in part or in total under this grant, whether or not published or produced. For purposes of this paragraph, "Works" are all literary Works, writings and printed matter, including the medium by which it is recorded or reproduced, and photographs, art work, pictorial and graphic representations, motion pictures, other audiovisual products, digital recordings, tape recordings, educational materials, original computer software programs, data, and any other materials or products conceived, developed, or delivered as a result of this grant. The copyright to any and all Works created, provided, or developed under this grant, whether published or not published or produced, belongs to the State from the moment of creation.
- B. The State retains all rights to use, reproduce, distribute, or display any Works created, provided, or produced under this grant and any derivative works based on grant Works, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common law copyright law.
- C. Grantee shall grant to the State, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this grant that is not fixed in any tangible medium of expression.
- D. If for any reason, the State is not deemed to be the owner of all rights, title and interest in the Works created, provided, developed, or produced under this grant, then Grantee, by entering into this grant, assigns all such rights to the State.
- E. For any product, data or material which is created, provided, developed, or produced under this grant which is not deemed a Work, the Grantee shall grant the State a royalty-free, non-exclusive, and irrevocable license throughout the world to reproduce, to produce derivative Works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes, and to have or permit others to do so.
- F. Subject to the terms, conditions, and limitations contained in this grant and subject to the performance of all terms and conditions stated in this grant, the State grants to the Grantee a non-exclusive license to use, duplicate, distribute, and permit others to use Works created, produced or developed under this grant for the purpose of carrying out the terms and conditions of this grant, consistent with any limitations set forth in this grant.
- G. For Works requiring the use of other copyright holders' materials, the Grantee shall furnish the names and addresses of all copyright holders or their agents, if any, and the terms of any licenses or usage granted, at the time of delivery of the Works. No materials of other

copyright holders shall be used without prior written permission of the State and the holder of the copyright.

- H. At any time the Grantee enters into an agreement with another party in order to perform the work required under this grant, the Grantee shall require the agreement to include language granting the State a copyright interest in any Works created, provided, developed, or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression. In addition, the Grantee shall require the other party to assign those rights to the State in a format prescribed by the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so.
- I. The Grantee represents and warrants that:
- 1) the Grantee is free to enter into and fully perform this agreement;
 - 2) the Grantee has secured or will secure all rights and licenses necessary for the creation, production, or development of the Works under this grant;
 - 3) neither the Works created, produced, or developed under this grant, the materials contained therein, nor the exercise by either the Grantee or the State of the rights described or granted in this grant, shall infringe upon or violate the rights or interests of any person or entity;
 - 4) neither the Works, nor any part of the Works, created, produced, or developed under this grant shall: a) violate the right of privacy of, or b) constitute a liable or slander against, or c) infringe upon the copyright, literary, dramatic, statutory or common law rights, trademarks or service marks of any person, firm, or corporation; and
 - 5) the Grantee has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to the State in this grant.
- J. All Works distributed under the terms of this grant and any reproductions of visual Works or text of such Works shall include a notice of copyright in a place that can be visually perceived either directly or with the aid of a machine or device. This notice shall be placed prominently on Works and set apart from other matter on the page or medium where it appears.
- K. The Grantee shall indemnify, defend and hold harmless the State and its licensees and assignees, and their officers, directors, employees, agents, representatives, successors, licensees and assignees from and against all claims, actions, damages, losses, costs and

expenses, including reasonable attorneys' fees, which any of them may sustain because of the use, reproduction, distribution, display or transfer of the Works and any other materials furnished by Grantee under this grant, or because of the breach of any of the representations or warranties made in this grant award.

- L. If the use of any Work is enjoined as a result of any action or proceeding, the Grantee shall, at its own expense and at the option of the State:
 - 1) procure for the State the right to continue to use said element, if the cost of said element does not exceed the reasonable cost anticipated under paragraph 16.L.2) or 16.L.3) below; or
 - 2) replace said element with a comparable element which is non-infringing or does not violate the rights or interest of any person or entity; or
 - 3) modify said element so it becomes non-infringing or does not violate the rights or interest of any person or entity.
- M. The State owns all materials developed, provided, and produced for the State under this grant. During the contracting phase of this process, the State shall negotiate with the Grantee to determine the number of camera-ready and completed versions of each deliverable the State will receive. It is anticipated that the State will use deliverables in future tobacco control programs

BUDGET SAMPLE

APPENDIX I

Name of Grantee: ABC Community Agency								
Grant Number: 01-xxxxx								
Term: 08/01/01 - 06/30/04						Revision Date: May 3, 2001		
	PAY PERIOD	#of Pay Periods Per Year	Salary Range	% of time or Hours per PP	YEAR 1 09/01/2001 06/30/2002	YEAR 2 07/01/2002 06/30/2003	YEAR 3 07/01/2003 06/30/2004	Total Budget
A. PERSONNEL COSTS								
1. Project Director	S	24	\$4,220-\$5,274	100	\$0	\$0	\$0	\$0
2. Project Coordinator	S	24	\$3,840-\$4,801	100	\$0	\$0	\$0	\$0
3. Health Educator	S	24	\$3,193-\$3,980	100	\$0	\$0	\$0	\$0
4. Project Assistant	S	24	\$3,130-\$3,805	100	\$0	\$0	\$0	\$0
5. Secretary	H	24	\$2,525-\$3,072	100	\$0	\$0	\$0	\$0
Total Personnel Costs:					\$0	\$0	\$0	\$0
B. FRINGE BENEFITS @ XX%-XX% of Total Personnel Costs					\$0	\$0	\$0	\$0
TOTAL PERSONNEL EXPENSES:					\$0	\$0	\$0	\$0
C. OPERATING EXPENSES					\$0	\$0	\$0	\$0
D. EQUIPMENT EXPENSES					\$0	\$0	\$0	\$0
E. TRAVEL/PER DIEM and TRAINING					\$0	\$0	\$0	\$0
F. SUBCONTRACTS AND CONSULTANTS								
1. Evaluation Consultant					\$0	\$0	\$0	\$0
2. Media Consultant					\$0	\$0	\$0	\$0
3. ABC Company					\$0	\$0	\$0	\$0
TOTAL SUBCONTRACTS AND CONSULTANTS:					\$0	\$0	\$0	\$0
G. OTHER COSTS								
1. Educational Materials					\$0	\$0	\$0	\$0
2. Promotional Items and Incentives					\$0	\$0	\$0	\$0
3. Media, Public Relations, Advertising					\$0	\$0	\$0	\$0
4. Additional Expenses					\$0	\$0	\$0	\$0
TOTAL OTHER COSTS:					\$0	\$0	\$0	\$0
H. INDIRECT EXPENSES @ XX%-XX% of Total Personnel Expenses					\$0	\$0	\$0	\$0
90 TOTAL EXPENSES:					\$0	\$0	\$0	\$0

BUDGET JUSTIFICATION SAMPLE

ABC COMMUNITY SERVICES, INC. BUDGET JUSTIFICATION SEPTEMBER 1, 2001- JUNE 30, 2004

		<u>AMOUNT REQUESTED</u>			<u>Total for Grant Term</u>
		<u>FY 01/02</u>	<u>FY 02/03</u>	<u>FY 03/04</u>	
A. PERSONNEL SALARIES					
1. Project Director					
	(\$1,400-\$1,600 paid semi-monthly) x (100%) x (24 pay periods/per year)	\$ 33,600	\$ 36,000	\$ 38,400	\$ 108,000
	Project Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal & general coordination of the project. Monitors the project budget, maintains liaison with CDHS/TCS Health Education Consultant/Health Program Advisor and Contract Manager. Approves budget, invoices, staff changes, ensures timely progress on contract obligations, and other duties as required. Devotes 10% of his/her time to oversee the implementation of the evaluation and work with the evaluation consultant.				
2. Health Educator					
	(\$1,250- \$1,450 paid semi-monthly) x (80-100%) x (20 pay periods/per year)	\$20,000	\$ 24,300	\$ 29,000	\$ 73,300
	Under supervision of the Project Director, responsible for coordinating the tobacco program's media activities, promotional events, trainings, newsletter, and other duties as required. Devotes 5% of his/her time to implement evaluation activities.				

COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

State Classification Title	Comparable Title	Comparable Monthly Salary
Health Education Consultant Specialist III	Project Director	\$4,389-\$5,485
Health Education Consultant II	Senior Health Educator or Assistant Project Director	\$3,994-\$4,993
Health Education Consultant I	Health Educator or Health Education Assistant	\$3,321-\$4,139
Administrative Assistant I	Program Coordinator/Assistant	\$3,255-\$4,140
Office Services Supervisor II	Office Manager	\$2,628-\$3,195
Management Services Technician	Community Health Worker	\$2,220-\$2,700
Research Scientist II	Evaluation Consultant	\$4,724-\$5,699
Research Scientist I	Evaluation Consultant	\$4,301-\$5,189
Associate Governmental Program Analyst	Research Analyst II	\$3,915-\$4,759
Staff Services Analyst	Research Analyst I	\$2,507-\$3,049

Travel Reimbursement Information
Effective November 1, 1999

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract.
 - a. Reimbursement shall be at the rates established for nonrepresented/excluded state employees.
 - b. Short Term Travel is defined as a 24-hour period, and less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever a contract employee leaves his or her home or headquarters. "Headquarters" is defined as the place where the contracted personnel spends the largest portion of their working time and returns to upon the completion of special assignments.
 - c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this exhibit to determine the reimbursement allowance. All lodging must be receipted. If contractor does not present receipts, lodging will not be reimbursed.

(1) Lodging (with receipts):

Travel Location / Area	Reimbursement Rate
Statewide Non-High Cost Area	\$ 84.00 plus tax
High Cost Areas including the following counties: Alameda, San Francisco, San Mateo, Santa Clara and Central and Western Los Angeles (L.A.). Central and Western L.A. is the territory bordered by Sunset Blvd. On the north, the Pacific Ocean on the West, Imperial Blvd./Freeway 105 on the South and Freeways 110, 10, and 101 on the East. Central and Western L.A. includes downtown L.A., Englewood, L.A. International Airport, Playa del Rey, Venice, Santa Monica, Brentwood, West L.A., Westwood Village, Culver City, Beverly Hills, Century City, West Hollywood and Hollywood.	\$110.00 plus tax

Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Service or his or her designee. Receipts are required.

- (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum.

Meal / Expense	Reimbursement Rate
Breakfast	\$ 6.00
Lunch	\$ 10.00
Dinner	\$ 18.00
Incidental	\$ 6.00

- d. Out-of-state travel may only be reimbursed if such travel has been stipulated in the contract and has been approved in advance by the program with which the contract is held. For out-of-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors must have prior Departmental approval and a budgeted trip authority.

- e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this bulletin.
 - f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.
2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, DHS shall inform the contractor, in writing, of the revised travel reimbursement rates.
 3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.
 4. **Note on use of autos:** If a contractor uses his or her car for transportation, the rate of pay will be 31 cents maximum per mile. If the contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles may claim a rate of 31 cents per mile without certification and up to 37 cents per mile with certification. If a contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.
 5. The contractor is required to furnish details surrounding each period of travel. Travel detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc.
 6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

Travel Reimbursement Guide

Length of travel period	This condition exists...	Allowable Meal(s)
Less than 24 hours	Travel begins at 6:00 a.m. or earlier and continues until 9:00 a.m. or later.	Breakfast
Less than 24 hours	<ul style="list-style-type: none"> Travel period ends at least one hour after the regularly scheduled workday ends, or Travel period begins prior to or at 5:00 p.m. and continues beyond 7:00 p.m. 	Dinner
24 hours	Travel period is a full 24-hour period determined by the time that the travel period begins and ends.	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Travel period is more than 24 hours and traveler returns at or after 8:00 a.m.	Breakfast
	Travel period is more than 24 hours and traveler returns at or after 2:00 p.m.	Lunch
	Travel period is more than 24 hours and traveler returns at or after 7:00 p.m.	Dinner



COMMUNITY INDICATORS AND EXAMPLE OBJECTIVES

Note: The shaded sections are core indicators that LLAs were required to assess. Applicants may address core or other indicators, but must communicate/coordinate with the LLA in their area.

PRIORITY AREA: COUNTER PRO-TOBACCO INFLUENCES

Tobacco Marketing and Deglamorization Indicators

Definition: The Tobacco Marketing and Deglamorization community indicators address: 1) the marketing tactics used to promote tobacco products and their use, 2) the public image of tobacco companies, and 3) activities to counter the marketing, glamorization and normalization of tobacco use.

Community Indicator	Example Objectives
1. Extent of in-store tobacco advertising and promotions – or -- the proportion of communities with policies that control the extent of in-store tobacco advertising and promotions	<ul style="list-style-type: none"> By May 30, 2003, the mean number of tobacco signs and functional items in 100 convenience stores in River City will decrease from 10.6 items per store to no more than 5 items per store. By May 30, 2004, 40 of 75 chain and independent pharmacies in Bay City will have eliminated all in-store tobacco advertising and promotions.
2. Extent of tobacco advertising outside retail stores – or -- the proportion of communities with policies that control the extent of tobacco advertising outside retail stores	<ul style="list-style-type: none"> By June 30, 2003, the city of Innovation will adopt and enforce a policy to prohibit tobacco storefront signage within 1000 feet of schools.

Community Indicator	Example Objectives
3. Extent of tobacco sponsorship at public (e.g., county fair) and private events (e.g., concert, bars) – or -- the proportion of entertainment and sporting venues with policies that regulate tobacco sponsorship	<ul style="list-style-type: none"> By June 30, 2003, the Great minor league baseball team will adopt, implement and enforce a policy prohibiting tobacco sponsorship and advertising at all games and training sessions.
4. Extent of tobacco advertising and sponsorship at college related events – or -- the proportion of colleges with policies to control the extent of tobacco advertising and sponsorship at college related events	<ul style="list-style-type: none"> By May 30, 2003, one to two college campuses in Metro County will adopt and implement a policy to prohibit the advertising, promotion and sponsorship of tobacco products on campus including sporting events and school publications.
5. Extent of tobacco-company-sponsored bar and club nights and related advertising	<ul style="list-style-type: none"> By May 30, 2002, the mean number of tobacco industry sponsored bar and club nights advertised in 3 Sunshine City weekly entertainment newspapers will decrease from 2.5 ads per issue to no more than .4 ads per issue. By May 30, 2002, 2 weekly entertainment newspapers serving Sunshine City will adopt a policy to not accept ads sponsoring entertainment events featuring any tobacco company names, brands or logos.
6. Extent of tobacco advertisements in magazines, newspapers and other print media – or -- the proportion of magazines, newspapers and other print media that control the extent of tobacco advertisements	<ul style="list-style-type: none"> By May 30, 2004, 1-2 newspapers in My County will adopt a voluntary policy to eliminate tobacco company brand advertising. By May 30, 2003, the mean number of tobacco ads per issue in the African American Daily News will decrease from .18 ads per issue to no more than .05 ads per issue annually.
7. Extent of outdoor tobacco ads and billboards that are less than 14 square feet	<ul style="list-style-type: none"> By May 30, 2004, the number of outdoor tobacco billboards that are less than 14 square feet will be reduced from 20 per square mile to 10 per square mile.
8. Extent of compliance with MSA outdoor advertising, print advertising, sponsorship and promotional requirements	<ul style="list-style-type: none"> By May 30, 2004 actively monitor, track and report possible sponsorship MSA violations at 3 auto and boat racing events conducted annually in City Beach and eliminate all violators.

Community Indicator	Example Objectives
9. Extent of tobacco company contributions to educational, research, public health, women's, cultural, entertainment, fraternity/sorority groups and social service institutions	<ul style="list-style-type: none"> By May 30, 2004, 2-3 social service or cultural groups that have accepted tobacco company contributions in the past will adopt voluntary policies against accepting tobacco company contributions in the future and 5-10 social service or cultural groups that have NOT accepted tobacco company contributions will adopt voluntary policies against accepting tobacco company contributions in the future. By May 30, 2003, the county public health department and department of social services will adopt conflict of interest language for Proposition 99 and Proposition 10 contracts that prohibits acceptance of tobacco industry funding as a condition of funding from these sources.
10. Extent of tobacco company contributions to support political campaigns of elected officials	<ul style="list-style-type: none"> By May 30, 2004, 15 local and state elected officials from Hazard County will sign a pledge to reject campaign contributions from tobacco companies and their subsidiaries.
11. Extent of socially responsible depiction of tobacco use, tobacco advertising and ETS restrictions by the entertainment industry	<ul style="list-style-type: none"> By June 30, 2002, at least two prominent African American celebrities will advocate against tobacco use and refuse to participate in sporting or entertainment events that promote tobacco use.
12. Extent of the availability of candy look alike tobacco products	<ul style="list-style-type: none"> By May 30, 2002, one major chain store will voluntarily agree in writing to stop selling candy look alike tobacco products such as bubble gum cigars/chew and candy cigarettes.
13. Extent of news media stories about tobacco industry deception	<ul style="list-style-type: none"> By May 30, 2004, news media stories in the Mountain County Times revealing tobacco industry deception will increase from 6 stories per year to 12 stories per year.
14. Extent of public school districts with a policy prohibiting wearing or carrying of tobacco promotional items at school	<ul style="list-style-type: none"> By June 30, 2003, all 5 public school districts will enact and enforce a policy prohibiting wearing or carrying tobacco promotional items such as t-shirts and backpacks at school.

PRIORITY AREA: COUNTER PRO-TOBACCO INFLUENCES

Economic Indicators

Definition: The Economics community indicators address the financial incentives and disincentives that can be implemented to promote non-tobacco use norms.

Community Indicator	Example Objectives
15. Extent of public (e.g., county and city government or public university) and private institutions (e.g., unions; private university) that divest of tobacco stock	<ul style="list-style-type: none"> By May 30, 2004, at least 3 cities in Urban County will bring a resolution or policy to vote to divest retirement funds from tobacco company investments and at least 1 city will initiate the divestment process. By May 30, 2004, at least 1-2 private universities will vote to divest retirement funds from tobacco company investments.
16. Extent of public and private employers that offer discounted health insurance premiums for non-tobacco users	<ul style="list-style-type: none"> By May 30, 2003, work with at least one major public or private employer to consider offering health insurance premium discounts for non-tobacco users and produce a "white paper" appropriate for public dissemination that discusses the feasibility and policy recommendations for action and further research.
17. Extent of public school districts and public institutions such as hospitals or correctional facilities that adopt a selective purchase policy indicating that tobacco company subsidiary food products will not be bought	<ul style="list-style-type: none"> By January 30, 2002, Big City school district will adopt a selective purchase policy prohibiting the purchase of food products from tobacco company subsidiaries. By January 30, 2002, 5 county-funded food shelters in Big County will adopt a selective purchase policy indicating that tobacco company subsidiary food products will not be bought or accepted as donations.

PRIORITY AREA: COUNTER PRO-TOBACCO INFLUENCES
School-based Prevention Indicators

Definition: *The School-based Prevention community indicators address the availability and provision of tobacco use prevention information to youths in school.*

Community Indicator	Example Objectives
18. Proportion of schools that provide intensive tobacco use prevention instruction in junior high/middle school years with reinforcement in high school using a curricula that provides instruction on the negative physiologic and social consequences of tobacco use, social influences on tobacco use, peer norms regarding tobacco use and refusal skills (CDC Guideline)	<ul style="list-style-type: none"> By May 30, 2004, the prevalence of psychosocial tobacco use instruction reported by 6th-12th grade teachers in Valley County will increase from 60% reporting they provided such instruction in the 1998/99 school year to 90% reporting they provided such instruction in the 2002/03 school year.
19. Extent of teachers who report receiving tobacco use prevention specific training for teachers (CDC Guideline)	<ul style="list-style-type: none"> By May 30, 2003, the percentage of 5th grade teachers in Suburban County reporting they participated in a tobacco use prevention curriculum-specific training will increase from 16% in 1998 to 32% in 2002.
20. Extent of school districts that involve parents or families in support of school-based tobacco use prevention (CDC Guideline)	<ul style="list-style-type: none"> By May 30, 2003, the percentage of 5th grade teachers in Suburban County reporting they had tried, "not too much" or "not at all" to involve parents in tobacco prevention education during the school-year will decrease from 81% in 1998 to 60% in 2002.

PRIORITY AREA: COUNTER PRO-TOBACCO INFLUENCES

Physical Environment Indicators

Definition: The Physical Environment community indicators address the pollution and safety hazards posed to the natural environment by the production and use of tobacco products.

Community Indicator	Example Objectives
21. Extent of public policies controlling tobacco litter in public places including parks, playgrounds, and beaches	<ul style="list-style-type: none">▪ By May 30, 2004, through a collaborative education campaign conducted with one major municipal public works department measurably decrease tobacco litter in storm drains from a baseline measure taken in May 2002.
22. Extent of low-income housing complexes that have cigarette related fire prevention policies	<ul style="list-style-type: none">▪ By May 30, 2002, identify housing codes applicable to preventing fires in single residency occupancy hotels and collaborate with appropriate city departments to measurably increase enforcement from an identified pre-intervention baseline.▪ By May 30, 2002, collaborate with the appropriate Foggy City departments to measurably increase safety and fire prevention practices from a pre-intervention determined baseline at single residency occupancy hotels including code enforcement and smoking cessation information and referral services

PRIORITY AREA: COUNTER PRO-TOBACCO INFLUENCES

Global Movement Indicators

Definition: The Global Movement community indicators address: 1) countering the international sale and promotion of tobacco products by US tobacco companies in other countries; and 2) building the capacity of other countries to respond to the marketing and sales practices of US tobacco companies.

Community Indicator	Example Objectives
23. Extent of local resolutions in support of national policies to hold US tobacco companies to the same standards in the sale and marketing of their products nationally and internationally	<ul style="list-style-type: none">By June 30, 2003, the California Democratic and Republican Platform Committees in the county will adopt resolutions to support national policies to hold US tobacco companies to the same standards internationally as used in the sale and marketing of their products in the U.S.
24. Extent of local resolutions in support of national policies to hold US tobacco companies to the same standards in their production of tobacco products nationally and internationally, e.g., pesticide use, genetic engineering, etc.	<ul style="list-style-type: none">By May 30, 2004, 2-4 environmental and social justice groups in Urban County will adopt resolutions calling for US tobacco companies to be held to the same tobacco production standards internationally as they are held to in the U.S.
25. Extent of local resolutions in support of the WHO Framework Convention on Tobacco Control	<ul style="list-style-type: none">By May 30, 2002, at least 3 major groups with a high degree of credibility such as the American Red Cross, Girl Scouts of America and Rotary Club International will adopt resolutions in support of the WHO Framework Convention on Tobacco Control and conduct a highly publicized press conference to bring attention to the Framework.
26. Extent that local tobacco control programs exchange information and resources to build tobacco control efforts internationally in response to US tobacco company marketing and sales practices	<ul style="list-style-type: none">By January 31, 2002, the Metropolitan County tobacco control coalition will create a global tobacco control framework that identifies goals and activities to exchange information and resources with tobacco control efforts internationally.

PRIORITY AREA: REDUCE EXPOSURE TO SECONDHAND SMOKE

Reduce Exposure to Secondhand Smoke Indicators

Definition: The Secondhand Smoke community indicators address secondhand smoke exposure in indoor and outdoor settings.

Community Indicator	Example Objectives
27. Extent of enforcement/compliance with state/local smoke-free worksite law(s) (excluding bars & gaming)	<ul style="list-style-type: none">By June 30, 2002, at least 85% of 100 businesses in Korean Town, will demonstrate and maintain compliance with Labor Code §6404.5 as determined by an annual observational survey.
28. Extent of enforcement/compliance of enforcement of state/local smoke-free bar & gaming law(s)	<ul style="list-style-type: none">By June 30, 2003 75% to 80% of all (30) stand-alone bars and 100% of restaurant-bar combinations (50) in Rural County will be in compliance with Labor Code §6404.5 in the unincorporated areas of the county as determined by semi-annual observational surveys.By June 30, 2002, increase the proportion of bars in compliance with Labor Code §6404.5 from a baseline of 70% (1999) to an 85% maintenance compliance rate in the cities of One, Two and Three, as determined by annual observational surveys.
29. Extent of compliance with the state law that prohibits the use of tobacco by all students, school staff, parents, and visitors in public school district-owned or leased buildings, on district grounds, and in district vehicles	<ul style="list-style-type: none">By June 30, 2003, the proportion of students within Valley High School District who believe that many people violate the school no-tobacco use policy will decrease from X% to X% as determined by the California Healthy Kids Survey conducted by the school district.By June 30, 2002, teachers' perceptions that "most or all" students comply with tobacco-free policies at Mountain High School will increase from 12% (1999 baseline) to 25%.

Community Indicator	Example Objectives
30. Proportion of homes with a smoker in the household who report their home is smoke-free	<ul style="list-style-type: none"> By May 30, 2004, among Mountain County WIC clients identified as having a smoker in the home, 75% will report that smoking is not permitted inside the home as a result of a secondhand smoke educational campaign conducted through WIC clinics and in the community. By May 30, 2004, increase the proportion of pediatricians and family physicians in Rural County that inquire about secondhand smoke exposure in the home to at least 75%, as measured by a random sample chart audit.
31. Proportion of families with a smoker who report their personal vehicles are smoke-free	<ul style="list-style-type: none"> By May 30, 2004, at least 85% of Happy Days Pre-school families in Valley Town, who have a smoker in the home, will report that smoking is not permitted in personal vehicles.
32. Proportion of worksites with 5 or fewer employees that have smoke-free policies – or -- the proportion of communities with policies that make worksites with 5 or fewer employees be smoke-free	<ul style="list-style-type: none"> By May 30, 2004, at least 10 worksites in Harbor City, with 5 or fewer employees that currently permit smoking, will adopt a voluntary policy to prohibit smoking at the worksite and educate employees about the policy.
33. Proportion of hotels with smoke-free lobby policies – or -- the proportion of communities with policies that require hotel lobbies to be smoke-free	<ul style="list-style-type: none"> By May 30, 2004, at least 2 major hotel chains in Tourist Community will adopt and implement a smoke-free hotel lobby policy.
34. Extent of foster care homes that are designated as smoke-free	<ul style="list-style-type: none"> By April 30, 2004, the foster care system in Urban County will adopt and implement an agency policy prohibiting smoking in the homes and cars of foster care parents.
35. Extent of multi-unit housing and public housing complexes with policies that designate common outdoor areas as smoke-free, e.g., playground, swimming pool	<ul style="list-style-type: none"> By May 30, 2004, 2-4 multi-housing units without a smoking policy, will adopt, implement and enforce a policy that designates common outdoor areas as smoke-free (e.g., playground and swimming pool areas).

Community Indicator	Example Objectives
36. Extent of public and private worksites that designate smoke-free entrances within 15 feet or more of the outside doorways – or -- proportion of communities with policies that designate smoke-free entrances within 15 feet or more of the outside doorways	<ul style="list-style-type: none"> ▪ By June 30, 2003, at least 20 worksites in the cities of One, Two and Three will enact and implement voluntary policies to prohibit smoking within 15 to 25 feet of doorways as confirmed by a written policy. ▪ By June 30, 2003, a minimum of two alcohol and drug treatment facilities in the county will adopt policies to prohibit smoking on the facility grounds or to restrict smoking within 15 feet or more of the outside doorways.
37. Extent of smoke-free units within multi-housing complexes (e.g., apartments and public housing)	<ul style="list-style-type: none"> ▪ By September 30, 2004, the proportion of smoke-free residential rentals listed in the September rental directory for Metro City will increase from 20% (1999 baseline) to 40%. ▪ By May 30, 2003, 100-125 apartment or Condo Board Associations will adopt and implement formal policies designating a minimum of 50% or all units as smoke-free. ▪ By June 30, 2002, the student housing office for 2-3 colleges and universities in Urban County will adopt and implement a formal policy to solicit information from apartment owners and list in announcements whether a rental apartment is smoke-free and/or is in a smoke-free building.
38. Extent of single resident occupancy hotel rooms that designate a portion of rooms as smoke-free	<ul style="list-style-type: none"> ▪ By May 30, 2004, 75% of single occupancy hotel rooms will be designated as smoke-free.
39. Extent of restaurants and bars with outdoor areas that designate the outdoor area as smoke-free	<ul style="list-style-type: none"> ▪ By April 30, 2004, 20-30 restaurants with outdoor eating areas in Tourist Town will voluntarily designate the outdoor areas as smoke-free.

Community Indicator	Example Objectives
40. Extent of outdoor recreational facilities (e.g., fairgrounds, amusement parks, playgrounds, sport stadiums, etc.) that have policies designating a portion or all the outdoor areas as smoke-free	<ul style="list-style-type: none"> ▪ By June 30, 2002, Great America in the City of Fun will adopt and implement a smoking policy that designates smoking areas away from waiting lines, food, game and ride areas. ▪ By June 30, 2004, 3 to 5 community events conducted in the county will adopt and implement smoke-free event policies. ▪ By July 4, 2002, the Valley County Fairboard will adopt and implement a written policy creating smoke-free zones in the grand stand bleachers, picnic areas, and children amusement area during all fairs and other special events held at the fairgrounds. ▪ By May 30, 2004, one to two parks in Mountain County will adopt and implement smoke-free or tobacco-free public playground policies.
41. Extent of private elementary and high school campuses designated as tobacco-free	<ul style="list-style-type: none"> ▪ By May 30, 2004, at least 3 Catholic Schools in Sunshine County will adopt and implement policies designating the school campus tobacco-free during school and after school hours.
42. Extent of movie theaters, sporting events and entertainment events that designate waiting lines for tickets, food service, restrooms, etc. as smoke-free	<ul style="list-style-type: none"> ▪ By May 30, 2002, the Big Red Football Stadium will adopt and implement a policy designating specific outdoor smoking areas which excludes waiting lines for food, restrooms, etc.
43. Extent of faith community events that are designated as smoke-free	<ul style="list-style-type: none"> ▪ By June 30, 2003, 20-30 churches will conduct a Smoke-Free Sunday event and 10 church boards will adopt smoke-free church campus policies.

PRIORITY AREA: REDUCE THE AVAILABILITY OF TOBACCO

Reduce the Availability of Tobacco Indicators

Definition: The Reduce the Availability of Tobacco community indicators address controlling the sale, distribution, sampling or furnishing of tobacco products within the community.

Community Indicator	Example Objectives
44. Extent of compliance with state laws prohibiting the sale of tobacco sales to minors and requiring ID checking	<ul style="list-style-type: none">By June 30, 2004, among the 385 tobacco retail establishments in Coast County, sales of tobacco to minors will decrease from 19% (1999 rate) to 5% as determined by an annual youth tobacco purchase survey.By June 30, 2003, the proportion of high school youth reporting that it "is easy to purchase tobacco" will decrease to 50% or less as determined by regional data results from the Youth Tobacco Survey.
45. Extent of compliance with posting the STAKE Act age-of-sale warning signs	<ul style="list-style-type: none">By June 30, 2002, STAKE Act signs posted at the point of purchase will increase from 53% (1998 baseline) to 90% in Valley County as determined by annual observational surveys.
46. Proportion of communities with tobacco retail licensing	<ul style="list-style-type: none">By April 30, 2004, 5-6 cities in Urban County will adopt tobacco retail licensing requirements.
47. Extent that bidis, cigars and smokeless tobacco products are included and tracked as part of compliance checks for enforcement of illegal tobacco sales to minors	<ul style="list-style-type: none">By May 2003, 1-2 law enforcement agencies will adopt enforcement protocols that include youth tobacco purchase attempts of bidis, cigars and smokeless tobacco products, in addition to cigarettes, as a result of an education and training program.
48. Extent of compliance with state and local laws restricting placement of vending machines	<ul style="list-style-type: none">By January 1, 2002, 100% of businesses will be in compliance with the state law restricting placement of vending machines.
49. Extent of compliance with state no sales-of-single cigarettes law	<ul style="list-style-type: none">By January 1, 2002, the percentage of stores selling single-sale-cigarettes in the midtown portion of Urban City will decrease from 20% to less than 5%.
50. Extent of compliance with the MSA sales and distribution of tobacco requirements	<ul style="list-style-type: none">By January 1, 2001, obtain 100% compliance with MSA tobacco distribution requirements at sporting and entertainment events in Rural

Community Indicator	Example Objectives
	County through creation of a highly publicized public monitoring system that forwards potential violations to the Attorney General's Office for possible prosecution.
51. Proportion of communities that regulate the number, location and density of tobacco retail outlets, e.g., conditional use permits	<ul style="list-style-type: none"> By May 30, 2004, 1-3 jurisdictions within the county will adopt and enforce a conditional use permit policy to restrict the location of tobacco retail outlets near (approximately 1,000 feet) schools, parks and youth facilities.
52. Proportion of communities that control self-service sales of tobacco	<ul style="list-style-type: none"> By June 30, 2003, at least one community in Rural County will adopt and implement a vendor-assisted tobacco purchase policy.
53. Proportion of independent and chain pharmacy stores that do NOT sell tobacco	<ul style="list-style-type: none"> By May 30, 2004, the percentage of independent pharmacies that voluntarily decide not to sell tobacco will increase from 75% (1998 baseline) to 85%.
54. Proportion of communities that have eliminated all tobacco vending machine sales	<ul style="list-style-type: none"> By May 30, 2004, all 5 cities in Big County will adopt, implement and enforce a policy prohibiting tobacco sales from any vending machine, including those in businesses that restrict access to persons under the age of 18.
55. Proportion of communities that control tobacco sales via mobile vendors	<ul style="list-style-type: none"> By May 30, 2003, River City will adopt, implement and enforce a policy prohibiting tobacco sales from mobile vendors such as ice cream trucks, hot dog cars and mobile food service trucks.
56. Proportion of communities that prohibit free tobacco products sampling	<ul style="list-style-type: none"> By May 30, 2002, the Rural Fair Board will adopt a policy prohibiting free tobacco product sampling at events whether they are hosted by the Fair Board or an outside vendor.
57. Proportion of stores in the community that sell bidis or flavored cigarettes	<ul style="list-style-type: none"> By May 30, 2003, the percentage of mom and pop stores, liquor stores, health stores, tattoo parlors and tobacco stores in Urban City that sell bidi or flavored cigarettes will decrease from 1.6 % to .05%.
58. Proportion of minors reporting they have received tobacco from a social source	<ul style="list-style-type: none"> By May 30, 2002, the percent of 8th graders reporting they received their last cigarette from a social source will decrease to 60% or less as determined by the Youth Tobacco Survey regional results for Our County.

PRIORITY AREA: PROMOTE TOBACCO CESSATION SERVICES

Promote Tobacco Cessation Services Indicators

Definition: The Promote Tobacco Cessation community indicators address the availability and provision of behavior modification focused tobacco cessation services that are culturally and linguistically appropriate for the community.

Community Indicator	Example Objectives
59. Extent of the availability and use of culturally and linguistically appropriate behavior modification-based tobacco cessation services in the community	<ul style="list-style-type: none">▪ By June 30, 2003, a minimum of 60% of 100 dentists in the county will report that they routinely provide screening for tobacco use, advise patients to quit and refer patients to the Chewers' and Smokers' Helplines.▪ By June 30, 2003, increase the number of calls received from adults and teens to the California Smokers' and Chewers' Helpline in Mountain County from 25 to a maintenance level of at least 100 per year.▪ By June 30, 2003, at least two in-patient alcohol and drug treatment facilities in Urban County will routinely assess clients for tobacco use and provide pharmacologic and behavior modification treatment to clients who indicate an interest in quitting use of tobacco.
60. Extent of public school districts that provide cessation support for students and all staff who use tobacco (CDC Guideline)	<ul style="list-style-type: none">▪ By May 30, 2003, a review of all 3 high schools in Valley County will provide cessation support for students and staff who use tobacco, even those who do not receive Tobacco Use Prevention Education competitive grant funds.

Community Indicator	Example Objectives
61. Extent of public employee health care plans that have implemented the Public Health Service clinical practice guidelines	<ul style="list-style-type: none"> ▪ By May 30, 2003, at least 1 major health care plan serving public employees in Smoke-free County will adopt and implement a comprehensive program to train and support health care provider groups to provide treatment for tobacco addiction consistent with the Public Health Service clinical practice guidelines. ▪ By May 30, 2004, 2-3 health care plans will adopt provisions that enhance nicotine-dependence treatment services offered as part of the health care plan's benefits for public employees.
62. Extent of managed care organizations serving the community that have implemented the Public Health Service clinical practice guidelines	<ul style="list-style-type: none"> ▪ By May 30, 2003, at least 75% of medical charts audited from one managed care health care provider group will recognize addiction to tobacco products as a chronic disease as demonstrated by consistently implementing a "Vital Signs" approach to treating the addiction.